Working Together to Prevent Sexual Exploitation and Abuse:

RECOMMENDATIONS FOR WORLD BANK INVESTMENT PROJECTS

REPORT OF THE GLOBAL GENDER-BASED VIOLENCE TASK FORCE

JULY 31, 2017



Acknowledgements

The Task Force would like to acknowledge the women and children in Uganda who suffered from abuse as a result of a World Bank-supported project, as well as the persistent community leaders who worked to bring their plight to light. The Task Force asked itself repeatedly whether the recommendations would prevent such abuse in the future and hopes that the survivors and community will see that, by coming forward, they have made a vital contribution to better the lives of others worldwide. The Task Force would also like to thank Bank staff and management for sharing so openly their perspectives on the issues and challenges the Bank faces. In particular, it is grateful to those who provided technical guidance, including Sanjay Agarwal, Chris Bennett, Qays Hamad, John Kellenberg, Mark King, Enzo De Laurentiis, and Jon Lindsay, as well as to the Inspection Panel for its insights. The Task Force is particularly grateful for the dedicated efforts of the GBV/SEA Task Force Secretariat led by Caren Grown and Maninder Gill, with special thanks to Verena Phipps, Diana Arango, and Farwah Qasim for their strong substantive and logistical support.



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Abbreviations and Acronyms

/ (DDICV	tations and Acronyms		
CEDAW	Convention to Eliminate All Forms of Discrimination Against Women		
CHINCA	Chinese International Contractors Association		
cso	Civil Society Organization		
СМС	Community Mobilization Coordinator		
CRC	Convention on the Rights of the Child		
ESHS	Environmental, Social, Health and Safety		
ESF	Environmental and Social Framework		
ESMP	Environmental and Social Management Plan		
FIDIC	International Federation of Consulting Engineers (in French)		
GBV	Gender-Based Violence		
GLTFP	Great Lakes Trade Facilitation Project		
GRM	Grievance Redress Mechanism		
IASC	Inter-Agency Standing Committee		
ICT	Information and Communication Technology		
IDA	International Development Association		
IEG	Independent Evaluation Group		
INGOs	International Non-Governmental Organizations		
MDB	Multilateral Development Bank		
NAPs	National Action Plans		
NGOs	Non-Governmental Organizations		
OECD	Organization for Economic Co- operation and Development		
OPCS	Operation Policy and Country Services		
PAD	Project Appraisal Document		
PIU	Project Implementation Unit		
RFP	Requests for Proposal		

Systematic Country Diagnostic
Sexual Exploitation and Abuse
Stakeholder Engagement Plan
Social Institutions and Gender Index
Standard Operating Procedures
Systematic Operations Risk-Rating Tool
Short Message Service
Standard Procurement Documents
Transport Sector Development Project
United Nations
United Nations Children's Fund
Uganda National Roads Authority
Violence Against Women
World Bank
World Health Organization

Standard Bidding Documents

SBD

Executive Summary

In October 2016, World Bank President Jim Yong Kim established an independent Task Force of external experts to provide guidance on how to strengthen Bank systems, tools and processes to prevent and mitigate against risk of sexual exploitation and abuse (SEA), as well as other forms of gender-based violence (GBV), in World Bank-supported infrastructure and other area-based investment projects. The Task Force was created in response to findings emerging from an Inspection Panel investigation of the Uganda Transport Sector Development Project, which found evidence of a range of severe impacts related to sexual misconduct, including with minors, exploitation and abuse and other forms of gender-based violence. The resulting impacts reflected a profound abrogation of responsibility by all parties involved, including by the Bank, to protect the safety, dignity and well-being of affected communities.

Preventing or mitigating against project-related risk of sexual exploitation and abuse requires interaction and collaboration between five key groups of actors.

These include: (i) women and children at risk, as well as other vulnerable populations, in communities where Bank-financed projects take place; (ii) communities that can play a role as dynamic risk management actors in expanding the circle of protection; (iii) contractors and consultants responsible for following contractually mandated social and labor practices that prevent abuse and violence; (iv) government partners at central and local levels who are critical to ensuring that SEA prevention and accountability mechanisms are in place; (v) and finally, the World Bank, which can put in place the policies and systems to prevent such incidents and play a convening role to facilitate partnerships that allow each of these actors, including the World Bank itself, to take on their respective roles and accountabilities to protect women and children from grievous harm.

AT THE CENTER: WOMEN AND CHILDREN AT RISK

Gender-based violence, including sexual exploitation and abuse, is a prevalent global challenge and manifestations likely exist in every environment where the Bank operates. Violence against women and children—and sometimes even against men-contributes to enduring physical and mental harm, while undercutting the ability of survivors, and often their families, to engage in meaningful, productive lives. Finding solutions to reduce and respond to GBV is a critical development imperative, with implications for the productivity, agency and well-being of individuals and communities. Identifying and understanding the risk to women and children, as well as to other vulnerable populations, of SEA and GBV is challenging yet critical. Risk factors are myriad and cut across multiple spheres, including at the individual, relationship, community, institutional and policy levels. Development projects, depending on their scope, can exacerbate existing risks or create new ones. Project-related risk factors include the size and scale of a project; the scale of labor influx; the extent to which a community has capacity to absorb labor influx or requires separate camp facilities; the inflow of income to workers, which can exacerbate already existing inequities between workers and community members; and the geographic location of project activities.

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Recommendations. Identifying and mitigating SEA and GBV risks in World Bank projects requires development of a robust risk assessment methodology, with a rating of "High Risk" of SEA/GBV triggering actions in project design and supervision. It will be critical in High Risk environments to educate and raise awareness of women, adolescents and children about risks of SEA and their legal rights. Service providers for survivors of SEA should be identified in accordance with international standards that articulate a minimum basic package of services, ideally including case management support, health services, psychosocial support, police support and security, access to legal services, and shelter, if needed.

THE COMMUNITY: A RISK MANAGEMENT PARTNER

Community settings and norms can both contribute to and mitigate against the risk of sexual exploitation and abuse. The community context in which social relationships occur—such as families, schools, neighborhoods, and workplaces—influences incidence of, and tolerance for, violence. At the same time, community members are often the most knowledgeable about locally relevant risk and protective factors and are critical stakeholders in preventing and responding to SEA. For these reasons, communities can serve as a rich source of information about the local context and as critical partners to the government, the implementing partner and the Bank in the design and implementation of projects.

Recommendations. To foster a continuous and dynamic partnership with community actors to prevent and respond to SEA and build community resilience, community partners should be identified through a scanning and mapping exercise that should be integrated into risk assessment methodologies. In High Risk contexts, this should be used to identify trusted sources for receiving and disseminating information, as well as sources of support to provide timely services to survivors of violence. Engagement with communities can build trust and transparency through early and full disclosure of anticipated project activities, intended outputs and expectations for contractor and worker behavior. The use of innovative communication channels for engagement and feedback through new technologies such as social media and text messaging platforms can extend the reach of traditional mechanisms for dissemination of information from project activities.

CONTRACTORS AND CONSULTANTS: ACCOUNTABLE PARTNERS

Construction companies and supervisory engineering firms play a central role in the implementation and management of project activities; their performance is critical to strategies to prevent SEA in infrastructure and related projects. There have been significant and promising Bank efforts to create an enabling environment for sound contractor and consultant performance on environmental and social risks through the Procurement Framework. Management has already built strong links between the new Procurement Framework and the Environmental and Social Framework as a means of strengthening proactive management of environmental, social, health and safety (ESHS) aspects and ensuring that Contractors adhere to proper standards and that Supervisory Engineers play an oversight role. The new approach and requirements provide flexibility to address identified SEA and GBV risks and already include references to GBV and sexual harassment in some provisions. It will be important to ensure that this approach is further strengthened by including standards and requirements specific to the risks of SEA and GBV identified in a particular contract's operating environment.

Recommendations. Under the new Procurement Framework, social risk mitigation and related contractor obligations are built into Standard Bidding Documents. Of note, Contractors are required to have sexual harassment policies and worker's Codes of Conduct. It is recommended that Codes of Conduct include specific prohibitions against SEA, including prohibition of sexual activities with children, defined as anyone younger than 18. This standard must hold even when national standards, laws and policies have a younger age of consent.

Another new requirement is that contractors declare whether any contracts have been suspended or cancelled or bid bonds called for incidents related to SEA and GBV. Disclosure of past incidents should trigger more intensive due diligence by the government Project Implementation Unit (PIU) to assess whether the firm has demonstrated sufficient capacity for prevention and risk management.

In addition, for High Risk Projects, several features anticipated in the new Procurement Framework should be mandatory. These include a requirement that contractors demonstrate that they have the capacity to manage SEA risks, including prevention and response action plans and key staff with appropriate technical skill and experience, as well as training and awareness-raising programs for workers. In High Risk Projects, contracts for Supervisory Engineers should set explicit expectations for monitoring contractor performance of its SEA obligations, with a protocol in place for immediate, timely, mandatory and confidential reporting in case of incidents. Oversight should be further strengthened by using Third-Party Monitoring for High Risk Projects, with a focus on ensuring that provisions to prevent and respond to SEA are in place and functioning. The selection of a Third-Party Monitor should respond to the project context, scope and reality on the ground and may include a civil society organization, international or local nongovernmental organization (NGO), academic partner, private sector firm or dispute board mechanism. Finally, the Bank should work with industry to raise the bar by partnering with leading contractors, consultants and industry associations to develop an industry engagement and capacity building plan for prevention of SEA. The goal is to build a coalition of industry partners to champion change, support development of best practices, and develop learning and tools.

THE GOVERNMENT: COMMITTED AND PREPARED

Client governments—at the national, regional and local levels—are essential actors in preventing and responding to SEA and other forms of GBV. But the approaches recommended by the Task Force will, for many clients, be new and not well understood. The Bank should work to mobilize the government as an active partner in prevention and response to SEA and GBV and build government commitment and ownership

Recommendations. Technical Ministries, PIUs, and local governments should be targeted for awareness-raising and capacity-building interventions. Leveraging project launch activities, supported by specific learning modules, as an opportunity to strengthen ownership and awareness of risks can enhance country capacity to address SEA. Project-level Grievance Redress Mechanisms, which are the responsibility of Government, should integrate protocols to track complaints related to SEA—ensuring confidentiality and anonymity—including a feedback system for regular and timely feedback on actions taken to respond to complaints. These mechanisms should protect confidentiality of individuals without compromising access to justice while also enabling links to referral pathways and local organizations for support services. Finally, the Bank should support government efforts to broaden their response to SEA and GBV by establishing linkages between project-level activities and existing national policies and frameworks as an important opportunity to strengthen country-level, multi-sectoral coordination on GBV and implementation of these initiatives. Country engagement instruments such as the Strategic Country Diagnostic (SCD) and Country Partnership Framework (CPF) present important entry points for dialogue with government partners on risks related to SEA and GBV. The Bank should also seek to build connections between High Risk projects and existing programmatic efforts to address GBV within the country portfolio.

THE WORLD BANK: RESPONSIBLE CHANGE AGENT

The World Bank has the obligation and institutional strength to serve as the link which brings all the actors—the communities where projects are located, workers, contractors and consultants, and government clients—together to protect women, children and communities against SEA. This is a challenging and sensitive issue, however, that will require Bank leadership to provide positive incentives to sustain staff attention and rigor.

Recommendations. Change starts from the top, and senior management should designate a senior-level champion to articulate expectations, monitor performance and push for timely implementation to sustain attention to this work. This will amplify and broadcast successes, including positive recognition of staff who proactively report incidents and who adopt good practices and innovations for SEA prevention and response. There should be continued focus on the link between prevention of SEA in Bank projects and the Bank's core values using non-conventional learning tools such as storytelling and films. "Walking the talk" can further be fostered through a dialogue on expectations for Bank staff in preventing SEA both in the workplace and in Bank operations as part of

the ongoing Office of Business Ethics exercise to update the Bank's Core Values and in discussions of the Bank's own staff Anti-Harassment policies.

Operational policies and practices for preventing and responding to SEA should be consolidated into a staff guidance note. The Bank should further establish clear, confidential and timely internal reporting and response protocols of allegations of SEA. Training to build staff skills on SEA, linked to ongoing learning programs, will be essential, as will building a highly specialized "Master Class" of staff who can be deployed to support teams. Monitoring and evaluation should include reviews of a sample of High Risk projects over a two- to three-year period to capture lessons learned and improve processes. The Bank should also request an Independent Evaluation Group (IEG) review of implementation of Task Force recommendations to be conducted after 4 years.

All these efforts will require funding. Dedicated one-time surge funds will be needed for training and knowledge development for both staff and clients. The Bank should also establish a two-year, time-bound GBV Prevention and Mitigation Fund to supplement High-Risk projects, existing project preparation and supervision coefficients as needed. Thereafter, project cost coefficients should reflect actual cost experience developed during this transition period. Finally, building a coalition of Multilateral Development Banks (MDBs) working together to prevent SEA in projects will contribute to building momentum for this agenda.

A FINAL WORD: LOOKING BACK TO LOOK FORWARD

The experience of the Uganda TSDP was a painful one for the survivors and the local community. It was also a sobering moment for local and national partners in Uganda and for the World Bank as a development institution. Many lessons have been learned from this experience, and the World Bank has introduced several systemic changes to help ensure that such events are not repeated and that there are adequate mechanisms to prevent and mitigate social risk in the projects it supports, including the risk of sexual abuse. The Task Force has worked to build on these lessons and to promote further action to prevent and respond to SEA in Bank projects. If implemented, the recommendations can go a long way to learning from the past while looking forward to ways in which social risks can be mitigated so that women and children can experience, without fear, the benefits of development projects.



Imagine a girl who lives in fear of sexual violence. Imagine she lives in a community where the local government has secured international funding to improve roads in the area. At first her family is happy, looking forward to how the new roads will help the children get to school and give them access to markets to sell their produce or to the community hospital in an emergency. But soon those feelings of happiness turn bitter. She begins to view this project with fear. Men from outside the community have come to work on the roads and have begun to approach her friends, both girls and boys, with promises and money. The men call out rudely to the girls and threaten the boys. It feels menacing. The police do nothing to help, and the contractor has ignored complaints from community leaders. The girl's parents no longer allow her to go to school. She is not allowed to go outside the house on her own or walk around with her friends. Now, instead of increasing her access to school, the project has sliced into the girl's potential and her ability to move around freely and safely. She hears that one of the girls in her class had to drop out of school because she was pregnant. That girl's parents disowned her, and the rumor is that she has turned to prostitution. This former school friend is now at risk of more violence, depression, and suicide. Another friend has found out that he is HIV-positive. The girl worries for her friends, for herself, and for her family but doesn't know how to protect herself or help others.

These children live in our imagination, but their stories are not unique. This Task Force is about changing their stories and the stories of many other women and children for whom this experience is a reality—to help World Bank investment projects do what they are designed to do: extend development benefits to local communities.

In October 2016, World Bank President Jim Yong Kim constituted an independent Task Force of external experts (Annex 1) to investigate and provide guidance on how to strengthen Bank systems, tools and processes to prevent and mitigate against risk of sexual exploitation and abuse (SEA), as well as other forms of gender-based violence (GBV), in World Bank-supported investment projects. The Task Force was created in response to events that occurred during implementation of the Uganda Transport Sector Development Project, which the Uganda National Roads Authority (UNRA) implemented from 2013 onwards. Rehabilitation for the road was awarded to an international construction company that employed Ugandan workers, 80 percent of whom were from outside the communities where construction took place. In December 2014, the Bank's independent Inspection Panel received an anonymous complaint highlighting numerous implementation problems with the project, including serious allegations of sexual misconduct with minor girls by workers employed under the project. In September 2015, the community filed an additional complaint with the Inspection Panel, reporting that neither the Uganda National Roads Authority nor the Bank had satisfactorily addressed the problems. Despite initial field visits and verification efforts, the Bank was not able to confirm the allegations until it engaged an expert social scientist trained to address GBV in April 2015. Based on further Bank follow-up, it was confirmed that road workers had sexually abused several young girls, resulting in some instances in pregnancy and school drop outs, in addition to a host of other unresolved implementation problems in the project. In response, the Bank suspended disbursements of funding to the project in October 2015 and cancelled the project in December 2015. The Inspection Panel issued its investigation report detailing the numerous failings in August 2016 (World Bank 2016a). More details of the Uganda Project are in Annex 2.

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These events reflected a profound abrogation of responsibility by all parties involved, including by the Bank, to protect the safety, dignity and well-being of communities affected by the project. World Bank President Jim

Kim's statement on the project acknowledged that, "The multiple failures we've seen in this project—on the part of the World Bank, the government of Uganda, and a government contractor—are unacceptable." Following release of the Inspection Panel report, the World Bank Board released the Management Response to the Inspection Panel's report and conducted an in-depth review of the Uganda Transport case, culminating in a Lessons Learned report outlining the Bank's intended action plan to address the systemic challenges that the Inspection Panel identified. These reports also collectively recommended establishment of this Task Force to develop recommendations to prevent and mitigate the impact of sexual exploitation and abuse in the context of World Bank–financed area development projects.

Gender-based violence is a prevalent global challenge and manifestations of GBV likely exist in every environment where the Bank operates (Box 1). Violence against women and children takes many forms, including sexual, physical, emotional and economic abuse. It occurs in the home and on the streets and in times of peace and in conflict and crisis. Recent estimates by the World Health Organization (WHO) indicate that 35 percent, or one in three women worldwide have experienced some form of physical or sexual assault. That amounts to 818 million women worldwide, or nearly the entire population of Sub-Saharan Africa (WHO 2013). Perpetrators of violence are more likely to be spouses or family members than strangers and are often authority figures who have power over women and children. Data gathered from seven Sub-Saharan countries on sexual violence against children reveal that in most countries surveyed, one in four girls experienced sexual violence (Sumner et al. 2015). Underreporting, however, is one of the biggest challenges in data on child sexual abuse, particularly among boys, as well as other forms of GBV more broadly. One study estimates that 30 to 80 percent of victims do not disclose experience of childhood sexual abuse until adulthood and that many others remain silent forever (Alaggia 2005).

Box 1: Understanding Gender-Based Violence and Sexual Exploitation and Abuse

Gender-based violence (GBV) is an umbrella term for any harmful act that is perpetrated against a person's will and that is based on socially ascribed (that is, gender) differences between male and female individuals. GBV includes acts that inflict physical, mental, or sexual harm or suffering; threats of such acts; and coercion and other deprivations of liberty, whether occurring in public or in private life (IASC 2015). Manifestations of GBV includes, but is not limited to, physical violence, such as slapping, kicking, hitting, and the use weapons; emotional abuse, such as systematic humiliation, controlling behavior, degrading treatment, insults, and threats; sexual violence, which includes any form of non-consensual sexual contact; forced marriage, which is the marriage of an individual against her or his will; and denial of resources, services, and opportunities, also known as economic abuse, such as restricting access to financial, health, educational, or other resources with the purpose of controlling or subjugating a person (Arango et al. 2013). Trafficking, abduction and coerced transactional sex may also constitute forms of GBV.

Sexual exploitation and abuse (SEA): Sexual exploitation is a facet of GBV that is defined as any actual or attempted abuse of a position of vulnerability, differential power, or trust for sexual purposes, including but not limited to, profiting monetarily, socially or politically from the sexual exploitation of another. **Sexual abuse** is further defined as "The actual or threatened physical intrusion of a sexual na-

ture, whether by force or under unequal or coercive conditions" (IASC 2016). In the context of Bank-supported projects, SEA occurs against a beneficiary or member of the community.

Child Sexual Abuse is defined according to the age of the victim. It includes different forms of sexual violence, involves explicit force or coercion or cases in which the victim cannot consent because of his or her age (GBV IMS Classification Tool). The UN considers all sexual activity with someone younger than 18 to be sexual abuse (United Nations 2016).

Sexual Harassment includes unwelcome sexual advances, requests for sexual favors, and other verbal or physical conduct of a sexual nature (United Nations 2003). Sexual harassment occurs between personnel and staff (IASC 2015).

Consent refers to when an adult makes an informed choice to agree freely and voluntarily to do something (GBV IMS classification tool). There is **no** consent when agreement is obtained through:

- The use of threats, force or other forms of coercion, abduction, fraud, manipulation, deception, or misrepresentation,
- The use of a threat to withhold a benefit to which the person is already entitled, or
- A promise made to the person to provide a benefit.

GBV, including **SEA,** disproportionately affects women and girls and populations from minority or excluded communities. Evidence indicates that excluded and marginalized populations, such as migrants or indigenous women, face higher rates of violence, reflecting a wider context of discrimination and marginalization. Additional dimensions of vulnerability, including poverty and disability, can compound risk of and exposure to violence. GBV also affects men, boys and sexual minorities or those with gender-non-conforming identities. Disproportionately, however, GBV affects women and girls throughout their lifecycle, with profound, long-term impacts on health, agency, achievement and well-being.

GBV and other forms of exploitation and abuse can occur in all settings and contexts and are often exacerbated in situations of displacement, natural disasters, or conflict. Rape and other forms of sexual assault, as well as sexual exploitation and trafficking and intimate partner violence, are common forms of violence against women and children in many settings, but the risks are much greater in the face of natural disasters and conflicts, when

houses are destroyed; traditional support structures are disrupted; and there are significant obstacles to securing food, relief supplies and sanitation services. In acute emergencies, such as in situations of war and conflict, rape and sexual violence are often condoned, or used as a weapon of war. The associated breakdown in rule of law, including the deterioration in security and justice institutions that often occurs in fragile and conflict-affected settings and in the context of disasters, contributes to a climate of impunity and minimizes potential for redress. For girls and women, but also for boys and men, this can pose serious life-threatening consequences and profound, long-term damaging effects.

Experiencing violence has direct and indirect impacts on the health and well-being of women and children, as well as their families. GBV directly affects the physical and emotional health of those who have experienced it. Adverse impacts include acute injuries, chronic pain, gynecological problems, depression, trauma and substance abuse. It also can limit access to educational and economic opportunities, particularly for girls and women. For adolescent girls, challenges such as early marriage and experience or fear of physical or sexual abuse en route to or within schools contribute to high school dropout rates, curtailing educational advancement and future economic opportunities. Witnessing or experiencing violence, exploitation or abuse in childhood also has detrimental impacts and is often a strong predictor of future GBV (for girls) and of future experience or perpetration of violence (for boys) (Ehrensaft et al. 2003; Gomez 2010). Families of survivors suffer the consequences of the stigma and rejection associated with violence, especially with rape and other forms of sexual abuse. Families, however, can also be a source of stigmatization and are sometimes complicit in facilitating the sexual exploitation of their children in exchange for food or money.

GBV is an expression of gender inequality that prevents women and their families from escaping poverty, drains public resources and impedes human development and economic productivity. The economic costs of violence for individuals, families and national economies are well documented. Global evidence has documented the costs incurred by individuals and families from every incident of violence, including out-of-pocket expenditures on health services, lower or foregone income for women and their families, decreased productivity and lower human capital formation. A recent World Bank Group report examining GBV in five countries estimated the cost of intimate partner violence alone to range from 1.2 percent to nearly 4 percent of GDP, equivalent to what many governments spend on primary education (Klugman et al. 2014).

Global legal and policy measures have been established to protect women and children from sexual violence and abuse. Over the past three decades, the international community has undertaken many measures to make the world a safer place for women and children. The 1979 Convention to Eliminate All Forms of Discrimination Against Women (CEDAW) and the 1989 U.N. Convention on the Rights of the Child (CRC) stipulate various protections against SEA for women and children, respectively.

One measure to protect children from SEA is to encode in law the age at which an individual can consent to sexual activity and marriage. Although the legal age of consent varies substantially across and even within countries, the Convention on the Rights of the Child defines a child as "every human being below the age of 18 years unless, under the laws applicable to the child, majority is attained earlier," and the CEDAW Committee recommends that all states raise the minimum age of marriage to 18. More recently, however, in its articulation of *Special measures* for protection from sexual exploitation and sexual abuse, the UN Secretary General's Bulletin states that, "Sexual activity with children (persons under the age of 18) is prohibited regardless of the age of majority or age of consent locally." The document also emphasizes that, "Mistaken belief in the age of a child is not a defence" (United Nations 2016).

Finding solutions to reduce and respond to GBV in its many forms is a fundamental human rights imperative and therefore a critical development priority, with implications for the productivity, agency and well-being of individuals and communities globally. The Bank has an active and expanding portfolio of operations with explicit focus on prevention of and response to GBV. It has further confirmed its commitment to increasing investments

to address GBV, articulating commitments under both IDA 17 and IDA 18 to increase the number of operations addressing GBV, particularly in fragile and conflict-affected environments. The 2015 World Bank Group Gender Strategy (World Bank 2015) emphasizes this commitment by highlighting support for the reduction and mitigation of GBV as a critical feature of efforts to enhance women's voice and agency.

The Task Force Mandate and Approach

Within this broader context, and in the wake of the experience in Uganda, the Task Force was asked to focus on preventing SEA as one form of GBV against women and children resulting from Bank-supported infrastructure and other area development projects and on strengthening the speed and effectiveness of the response should such incidents occur. Projects that involve a large influx of workers into a community have been shown to be a particular threat, but other kinds of projects could present similar risks. In consideration of these risks, the Task Force work places a strong emphasis on prevention, with a focus on improved project risk assessments and on design and monitoring processes and systems to provide adequate precautions to eliminate or minimize risk to women, girls, and boys of exposure to SEA and other forms of violence. This requires World Bank Group operations teams to work with communities and governments to assess and understand the drivers of SEA—whether related to pervasive harmful norms and community dynamics, external stressors such as conflict and fragility, or unintended consequences of the development program itself. It also suggests robust response processes, with well-functioning protocols and remedial actions to enable safe, confidential, ethical care of survivors should SEA occur. Finally, effective prevention and response rest on building the capacity of all actors (Bank, Government, Contractors, Communities) to take on their respective responsibilities for action while working together to protect women and children at risk.

The Task Force's efforts are designed to align with recent policy changes. In 2015, the Bank approved a new approach to procurement and, in 2016, approved a new Environmental and Social Framework (ESF) that will go into effect in 2018 (Box 2). Notwithstanding that the ESF will not come into full force until 2018, the Task Force recommendations can be implemented as part of the existing safeguards framework, allowing for a transition between the two Frameworks. The Bank also issued a new directive, *Addressing Risks and Impacts on Disadvantaged or Vulnerable Individuals or Groups* (World Bank 2016b), that sets out mandatory requirements for Bank staff to identify disadvantaged and vulnerable groups and institutes measures to address the particular circumstances of those groups. A note on *Managing the Risks of Adverse Impacts of Communities from Temporary Project Induced Labor Influx* (World Bank 2016d)—hereafter referred to as the "Labor Influx Guidance Note"—responded to risks linked to labor influx that were the proximate cause of these problems in Uganda. These evolving policies and procedures provide structural entry points for embedding recommendations of the Task Force.

Box 2: Evolving Bank Systems and Policies

The World Bank is updating and introducing new policies and frameworks to guide preparation and implementation of World Bank investments.

In August 2016, the Bank finalized development of revised environmental and social standards as articulated in the new Environmental and Social Framework (ESF). This Framework re-emphasizes the Bank's commitment to the environmental and social sustainability of its investments and to enhancing positive outcomes of the Bank's operations while minimizing potential human and environmental harm. In particular, the ESF provides the foundation for improved social risk management, through which key social risks and associated mitigation measures are identified. In addition, a new Bank Directive Addressing Risks and Impacts on Disadvantaged or Vulnerable Individuals or Groups outlines mandatory measures to ensure outreach to and inclusion of disadvantaged or vulnerable populations who might not otherwise have access to potential project benefits. The roll out and implementation of the new Framework is expected in 2018.

The Bank has already begun to incorporate recommendations and guidelines for addressing SEA in alignment with a number of key ESF Environmental and Social Standards (ESS) including:

- ESS 1: Assessment and Management of Environmental and Social Risks and Impacts
- ESS 2: Labor and Working Conditions
- ESS 4: Community Health and Safety
- ESS 10: Stakeholder Engagement and Information Disclosure

The Bank has also introduced a new **Procurement** Framework. Approved in 2015, the Framework and associated reforms modernize the Bank's procurement approach to accommodate and support the use of modern procurement methods. The Framework recognizes procurement as both a development instrument and a strategic policy tool that can support socioeconomic objectives and emphasizes principles such as value for money, economy, efficiency, integrity, fit for purpose, transparency, and fairness. The new Procurement Framework provides numerous opportunities to increase the legal accountability of contractors under World Bank investments for challenges related to SEA and GBV. For example, in 2017, the Bank updated its standard procurement documents (SPDs) specifically to improve addressing Environmental, Social, Health and Safety issues (ESHS).

The Task Force commends the Bank for its efforts to date to investigate and acknowledge its failings in the Uganda case, as well as its willingness to expose itself to external scrutiny by the members of the Task Force. The Bank was forthright in its assessment of its failings, and staff demonstrated willingness to engage with the members of the Task Force to explore opportunities for improvement. The Task Force notes in particular the commitment by senior management to examine and learn from the mistakes in Uganda and their candor in acknowledging gaps in knowledge and understanding, as well as in institutional systems and processes.

The focus of the Task Force is on those GBV issues—specifically SEA—that have the potential to emerge in the context of Bank-assisted investment projects. The analysis and recommendations center on addressing SEA as exacerbated by project activities while also taking into account the prevalence and manifestations of other forms of GBV in the country and communities where project activities are located. The Task Force acknowledges that GBV is a widespread, serious problem in many countries. Addressing it more broadly requires multi-sectoral, country-focused strategies. This type of response is included in the Bank's Gender Strategy, with commitments made under IDA 18, and was therefore not the focus of the Task Force's work.

The Task Force work centered on a review of Bank actions and proposals, as well as external best practices for addressing SEA. It reviewed Bank documents related to the response to the Uganda incident; reviewed relevant documents that other institutions prepared (in particular, the United Nations); applied evidence from global research; met with GBV, operational, policy, legal, budget and business ethics experts within the Bank, as well as the Inspection Panel Chair and staff; and interviewed task managers who have introduced innovations aimed at preventing and responding to GBV and SEA in their projects. The Task Force also received feedback from a group of international civil society organizations and from the Bank's external Advisory Council on Gender and Development.

The Framework: Actors Working Together

Task Force deliberations and recommendations were guided by the following principles:

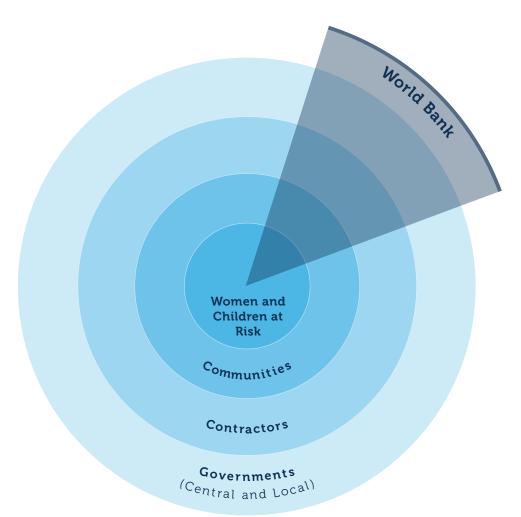
- Be people centered. Evaluate solutions through a survivor-centered lens, protecting the confidentiality
 of survivors, recognizing them as principal decision-makers, addressing the special needs and vulnerabilities of women and children (girls and boys), and respecting the dignity of workers. Build on the
 strength and resilience of communities, engage community leaders and civil society organizations, and
 keep the safety and needs of communities paramount.
- Emphasize prevention by incorporating risk-based approaches.
- Promote transparency to build trust with staff, partners and communities.
- Be evidence-based, drawing on research and best practices as the basis for recommendations.
- Look for innovative solutions, particularly for new tools from social media and communication technologies that can make step changes.
- Focus on organizational culture and individual behavior change, not only on new policies, procedures and processes.
- Use accountability wisely, finding the right balance between well-defined accountabilities and shared solutions; balancing the need for personal accountability of staff with the need to avoid creating a culture of risk aversion.

These principles led to the development of an overarching conceptual framework that recognizes that preventing GBV and SEA linked to World Bank projects requires many actors to work together. Figure 1 identifies the key actors that World Bank projects influence and affect, highlighting in a widening circle of stakeholders those ultimately engaged in protecting women and children from project-induced harm. In turn, the World Bank's policies and approaches are depicted as a wedge, cutting across all these actors, reinforcing the capacities of each—including the World Bank itself—to take on its responsibilities to prevent or respond to SEA in Bank-supported projects.

At the center are the women and children most at risk, especially those who live in communities where the drivers of GBV and risks of SEA are especially acute. They and their families deserve and expect protection from the potential negative impacts of World Bank-supported projects. Communities can play a role in expanding the circle of protection, providing monitoring, early warning, and support for survivors. Contractors and consultants have, in the implementation of projects, a major responsibility to follow social and labor practices that prevent abuse and violence by holding managers and workers to high standards of behavior through effective codes of conduct, monitoring and sanctioning. They also have an obligation to provide for the dignity and rights of their own workers. Governments, at central and local levels, must ensure social sustainability by expanding social risk

management to include SEA prevention and redress in project designs and by implementing functioning grievance redress mechanisms and monitoring systems, as well as ensuring that support services for survivors are available. Government partners also have an obligation to hold contractors accountable for abrogation of responsibility and compliance with environmental and social standards. Intersecting with each of those actors is the *World Bank*, with an obligation to establish the policies and systems to prevent such incidents from occurring. The World Bank is responsible for setting the overall standards and expectations of performance; implementing due diligence processes; and building capacity, knowledge and partnerships to allow each of these actors, including World Bank managers and staff, to take on their respective roles and accountabilities to protect women and children from grievous harm.

FIGURE 1: CONCEPTUAL FRAMEWORK: WORKING TOGETHER TO ADDRESS SEXUAL EXPLOITATION AND ABUSE



The next five sections in the report discuss, in turn, each of these actors and provide context for the Task Force recommendations, which are directed to the World Bank but relate to the role, responsibility and accountability of each actor. The penultimate section of the report maps out how the recommendations fit into the different stages of a typical World Bank project cycle. Finally, the report concludes with a reflection on the Uganda case, looking back to move forward.



AT THE CENTER:

Women and Children at Risk

"

Violence against women is perhaps the most shameful human rights violation, and it is perhaps the most pervasive. It knows no boundaries of geography, culture or wealth. As long as it continues, we cannot claim to be making real progress towards equality, development and peace.

-Kofi Annan, Former Secretary General of the United Nations Identifying and understanding the risk to women and children of SEA and GBV is critical.¹ At the same time, this can be challenging as there is no single driver of GBV or SEA. Risk factors are myriad and cut across multiple spheres, including at the individual, relationship, community, institutional and policy levels. Fundamentally, incidence of GBV, particularly sexual abuse, is associated with and reinforces norms perpetuating gender disparities and uneven power dynamics between men and women. Key risk factors include sociocultural dynamics that maintain male-dominated household decision-making, policies and laws that discriminate against women, cultural norms that justify or condone violence as a form of conflict resolution or discipline, and attitudes that find the use of violence against women and girls acceptable. Annex 3 outlines in greater detail a GBV Risk Framework that builds on an integrated ecological framework for identifying risk factors that contribute to the use and acceptability of GBV.

Development projects, depending on their scope, can exacerbate the existing risks of SEA or create new risks. As the case in Uganda demonstrated, activities linked to development projects may compound the broader contextual risks present in a society, community or relationship (as listed in Annex 3). Project-related risks are outlined in Table 1 and include the size and scale of a project, the scale of labor influx, the extent to which a community has capacity to absorb labor influx or requires separate camp facilities, and the geographic location of project activities (e.g., whether project activities occur in urban environments or in isolated rural areas where mechanisms for prevention and redress may be less available). Income in the hands of migrant workers can also create or worsen existing power imbalances between workers and members of the community, in particular for women and children. Identifying and understanding project-related risk factors as they interact with other contextual risk factors is critical for development of appropriate prevention measures in project design.



DEVELOPMENT
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ABUSE OR CREATE
NEW RISKS.

¹ While this report articulates a focus on women and children, Task Force consideration of those affected by GBV and SEA is intended to be inclusive of wider populations, including of men, male youth and boys, as well as of individuals who are marginalized and at heightened risk due to other personal characteristics, such as gender identity, sexual orientation, disability, or ethnic or racial minority status.

TABLE 1: PROJECT-RELATED RISK FACTORS FOR SEXUAL EXPLOITATION AND ABUSE

SOCIETAL	COMMUNITY	MALE PERPETRATOR	FAMILY	INDIVIDUAL
	WORL	D BANK PROJECT-RE	LATED	
National, regional Higher levels of GBV than regional average Low education levels of national labor force Limited services; low capacity for service provision for survivors; in particular, limited or no judicial or police services to facilitate redress for survivors Lack of specific legislation addressing incidence of GBV	Project size Geographic span of projects and communities that the project affects (e.g., larger projects intersect with more communities and are harder to monitor) Duration—longer term projects increase risk Project-affected population Small host community, unable to absorb large influx of workers Rural host community lacking access to services and institutions, low capacity for absorption Unequal participation of community members in community consultations	Project workers Not local Lack of sanctions for inappropriate behavior from employer Increase in income of workers distorts power balance between workers and communities Increase in income enables transactional sex and exploitative relationships	Working with only men or women in a household	Lack of information on how to report project-induced grievances

In projects that are assessed to have many of the factors that contribute to risk of SEA, prevention measures can and should be put in place. Explicit Codes of Conduct for workers, strengthened supervision systems, and incentives for reporting inappropriate behavior combined with clarity on the consequences of such behavior are some ways in which managers of projects can prevent SEA from occurring. Open, continuous and meaningful engagement with communities, making them partners in risk reduction and providing the most-vulnerable individuals with safe ways to speak up, can further strengthen prevention.

Should SEA occur, survivors must have access to multiple forms of support and services. It is critical that affected women or children receive health services, psychosocial support, security and/or police support, shelter if needed, and access to justice, whether through the formal justice system, where such systems exists, or through other means. This support must be provided in line with global ethical guidelines for timely, confidential, survivor-centered care that is responsive to survivors' needs and preferences and seeks to protect survivors from stigma, discrimination, retaliation or other harmful repercussions.²

² See the Violence Against Women and Girl's Resource Guide at www.vawgresourceguide.org Accessed June 2016.

Recommendations

1. STRENGTHEN RISK ASSESSMENTS AND USE THEM TO TRIGGER ACTION

- Build a robust risk assessment methodology for SEA and GBV. Task Teams should seek to identify, through preliminary social risk analysis, critical markers to assess project-related risks of SEA in the context of broader risk factors in that location. These project-related risks are outlined in Table 1 above, while Annex 3 outlines a range of contextual risk factors. Questions that, at a minimum, should be asked to identify the risk of GBV in a given country context are highlighted in Box 3, with additional guidance provided in Annex 4. An SEA risk rating of "High" should trigger a series of due diligence requirements, as discussed further in the following sections on Community, Contractors and Consultants, Government and the World Bank. It is important to note that risk assessment is done not only by the Bank but is also conducted as part of project social assessments carried out by government partners. Bank due diligence should therefore also ensure that these assessments adequately reflect risk of GBV and SEA.
- Embed a mechanism in the World Bank's existing Systematic Operations Risk-Rating Tool (SORT) to flag projects with high risk of SEA.³ Findings of the SEA risk analysis will feed into the overarching risk rating for the project, as articulated in the project's SORT. A "High Risk" rating should trigger the series of mandatory measures and considerations to be integrated into project design and implementation. For example, in contexts that are found to have a High Risk of SEA, the project should identify relevant government counterparts from, for example, health, law enforcement, justice, etc., as well as other key stakeholders (e.g. NGOs, community-based organizations) who need to be engaged in the case of an incident. High-risk contexts must also trigger mandatory inclusion of specialized staff with expertise in GBV prevention and response programming in the project.
- Monitor risk of SEA continuously throughout the life of a project. Risks evolve and change during implementation of a project, necessitating continuous monitoring through the life of a project. If the risk of SEA increases during the course of a project, this escalation in risk should trigger concomitant action.

³ SORT is a World Bank risk-screening mechanism that identifies key risks to operational activities by considering both i) risks to achieving the intended positive outcomes as identified in the Project Development Objective (PDO) and ii) risks of adverse, unintended consequences to the client or communities extending from operational activities. The SORT is intended to help project teams consistently assess and monitor risks across operational instruments and country programs.

Box 3: Assessing Project-Related Risks of Sexual Exploitation and Abuse (SEA)

Indicative questions that should be asked to assess potential risks linked to SEA are outlined below. Ideally, the assessment, particularly the first three bullets, should be done at the country portfolio level, informing Task Teams as they proceed to conduct project-level assessments.

- Are country-level rates of GBV higher than regional averages? This information may be available in country-level Demographic and Health Surveys conducted periodically by WHO or by other international actors (http://dhsprogram.com/What-We-Do/Survey-Types/DHS.cfm). At the same time, additional research should be conducted in cases in which regional averages are already high and when country-level rates are in alignment with these high rates.
- · What protections from violence does the existing legal framework provide women and children in the country of focus, particularly as related to i) child and early marriage; ii) domestic violence; iii) sexual harassment; and marital rape? These data have been aggregated and are available in the Women, Business and the Law dataset, a World Bank product that collects data on laws and regulations constraining women's entrepreneurship, employment and agency (http://wbl.worldbank. org/data/exploretopics/protecting-women-from-violence). It will also be important to investigate the extent to which existing legal frameworks are applied in practice.
- Are there prevailing socio-cultural norms that minimize women's roles or participation in the public and private spheres? Information on the prevalence or strength of patriarchal norms that may serve to dis-

- empower women may be available across a range of sources, including the World Values Survey, the Organization for Economic Cooperation and Development Social Institutions and Gender Index (SIGI), Gallup, or stakeholder consultations and interviews, particularly with women's groups and organizations.
- Will the project take place in a fragile or conflict-affected environment? Global evidence indicates that incidence of GBV often increases before and during conflicts and persists even after conflict ends as, among other factors, exposure to conflict may contribute to greater tolerance for violence (IASC 2015).

These questions should provide some basic indication of the potential risk of GBV in a given country context, which should then trigger further research and consultations. Additional questions and potential resources are included in Annex 4. These considerations should also be layered against key risks associated with labor influx projects as detailed in the Labor Influx Guidance Note.

Indicative questions from the work on labor influx include:

- Will the project take place in a rural or urban environment?
- · What is the scale of labor influx?
- Does the local community have the capacity to absorb incoming workers, or will separate camp facilities be necessary?
- What is the geographic span of the project and how many communities will project activities affect? Will the project be able to monitor implementation over the full span of the work?

2. EDUCATE AND RAISE THE AWARENESS OF WOMEN, ADOLESCENTS AND CHILDREN ABOUT SEA

- In project contexts that are assessed to be High Risk, the most vulnerable populations should be sensitized to the potential benefits and risks associated with a Bank-financed project. Women and adolescents should be made aware of potential socio-economic risks and impacts associated with development projects and, for example, the temporary influx of workers into their communities. They should be informed about the potential for SEA, as well as of their rights and the laws and services that can protect them or provide redress in case of an incident. Sensitization and awareness-raising efforts should align with consultation and information dissemination requirements for Bank teams and government partners and should necessarily involve personnel with appropriate training to discuss such sensitive issues.
- Identify and support appropriate expertise to educate and consult with children. This includes civil society organization (CSOs) with expertise in child abuse and sexual exploitation of children, as well as those with expertise in project-related risks. It is essential to reach out to a wide range of children, especially those from minority and disadvantaged groups, children on the street and older children who are on their own. CSOs with expertise in child abuse can help educate children about the services available to prevent abuse and to respond to the needs of survivors; they can also identify gaps and bring these to the attention of project leaders for action.

3. IDENTIFY SERVICE PROVIDERS FOR SURVIVORS OF SEA

- Locate the full range of service providers for survivors that may be needed in case of an incident. International guidelines for holistic multi-sectoral support articulate a minimum package of services for survivors of violence that includes case management support, health services, psychosocial support, shelter if needed, security and police support, and access to legal services. Services should be provided as differentiated by age and gender. Child protection and other services offered to child victims of SEA must be made available immediately and guaranteed over time as part of case management and on-going care. Organizations in communities where Bank projects take place may already offer such services, and referral pathways may already exist; risk assessment and community consultation activities (discussed in the next section) should be used to identify these providers. It should be ensured that mechanisms are in place for regular review of identified service providers during the life of the project to verify that they remain able to provide requisite services.
- Provide adequate support for services not available locally. In environments where services are not
 available locally, it may be necessary to build local capacity to provide basic support services or to
 identify services in other communities and to provide survivors with resources—whether in-kind or financial—to enable travel and access (if needed). Project design and legal obligations with contractors
 should reflect consideration for these activities and financial implications if relevant.
- Ensure that project design and obligations account for additional costs associated with incidence of SEA. In addition to enabling provision of services to survivors, resources may be needed to provide some form of compensation to survivors and/or their families to address lost productivity or income. During project design, funding sources, whether from loan or credit proceeds, government programs, emergency escrow accounts that contractors set up, or a combination of sources, should be identified and included in the appropriate legal agreements. Opportunities for longer-term support for survivors using linkages with existing livelihood or employment opportunities should also be investigated.



Community settings and norms can contribute to the risk of SEA. The community context in which social relationships occur, such as families, schools, neighborhoods and workplaces, influences incidence of and tolerance for violence. As presented in Annex 3, key risk factors at the community level may include weak community sanctions for GBV (or greater social acceptance of GBV), unemployment, poverty, population density, displacement, and presence of illicit or criminal networks (e.g., local drug trade or gangs) and other situational factors. Prevalent unequal gender norms within families and communities may also encourage violence against women and girls.

Nevertheless, the Community can and should be an integral part of prevention and response. Even in communities where acceptance of use of violence, particularly in the home, is prevalent, trusted local actors or influencers such as women's groups, clergy, teachers, and health care providers can often be identified, mobilized, and provided with the resources to play a partnership role in preventing, reporting, and responding to SEA.4 Moreover, community members are often the most knowledgeable about locally relevant risks and protective factors. Engaging with communities to identify and understand the interplay of those varying factors is fundamental. Tapping into local knowledge and networks is especially important in cases of SEA as local actors are best positioned to build trust and to provide contextually appropriate care for those affected. Community-based organizations and local NGOs also play an important role in identifying incidents and helping to support survivors. Indeed, in Uganda, community actors—most notably the local NGO, Joy for Children-were the voice of the girls who were sexually abused by external construction workers, raising the alarm, providing support to survivors, and persisting when the complaints were not heard.

The Community can play a positive role as a dynamic risk management partner. In addition to serving as a rich source of information about the local context, communities can be critical partners to the government, the implementing partner and the Bank in the design and implementation of projects. For this reason, it is important to go beyond traditional one-way communication mechanisms to engaging, consulting and partnering with local communities. Doing so from the beginning and throughout the project life cycle could help prevent SEA, and identify and respond to cases when they occur.

There are innovative ways to partner with the Community. Social media and text-messaging platforms can be used to extend a project's reach to community members and engage in regular conversations with them in an economical and effective way. For example, UNICEF, through its U-Report program, has mobilized young people in communities as a source of feedback and information by leveraging text messaging (Box 4). Similar approaches could be used, for example, to assess the effectiveness of community awareness campaigns of the grievance and reporting mechanisms or to provide early warning of emerging problems with construction workers.



IN ADDITION TO SERVING AS A RICH SOURCE OF INFORMATION ABOUT THE LOCAL CONTEXT. COMMUNITIES CAN BE CRITICAL PARTNERS TO THE GOVERNMENT, THE IMPLEMENTING PARTNER AND THE BANK IN THE DESIGN AND IMPLEMENTATION OF PROJECTS.

⁴ For example, see http://www.endvawnow.org/en/articles/1097-mechanisms-for-community-engagement-dialogue-and-outreach.html

Box 4: Leveraging Information and Communication Technology to Facilitate Community Engagement: U-Report

Information and communication technology (ICT) has long presented innovative opportunities for community feedback and interaction. UNICEF's U-Report is an example of an efficient tool to enable community participation and outreach that could be adapted to support efforts to prevent SEA in Bank-financed projects.

UNICEF has launched U-Report in 33 countries, predominantly in Africa, as a way for community members to share their opinions and to drive positive change. U-Report is a user-centered social monitoring tool based on simple Short Message Service (SMS) messages—polling for opinions on issues that affect communities and sharing useful information. It relies on volunteer community members, primarily comprised of young people who serve as U-Reporters to provide information on issues that affect their communities.

U-Report proved a particularly effective tool in disseminating information and managing response to the Ebola outbreak in West Africa. In Liberia, new cases of Ebola emerged after the first declaration of the end of the outbreak in May 2015. U-Report was deployed to alert people to the new epidemic, identify users who had been to these outbreak areas, and measure the effectiveness of radio campaigns and the visibility of Community Mobilization Coordinators (CMCs). In a single day, 43,000 people participated in U-Report and were informed of the new outbreak. Another poll revealed that data from 26,000 responses was also received within 24 hours and was used to redirect resources to areas most in need, with increased focus on locations also reporting the highest absences of CMCs.

In August 2015, Nigeria became the first country to reach one million responders on the SMS-based U-Report platform. With the support in Nigeria of telecommunications service providers, engaging with U-Report is free, and it has grown into a vibrant tool to empower communities. The first poll question from the U-Report Nigeria platform was sent out in April 2014, and since then, nearly 70 polls on topics such as health, education, safety and security, internally displaced persons (IDPs), water and sanitation, violence against children, and human trafficking have been discussed on the platform, with results disseminated to Government and other relevant agencies.

Recommendations

1. IDENTIFY COMMUNITY PARTNERS

• Integrate a scanning/mapping exercise into risk assessments for potentially high-risk contexts. Risk assessment activities should include scanning and mapping of the community in such contexts to assess the social dynamics and relationships between different segments of the community and the local risk factors for GBV. Such mapping can reveal important information about existing power structures and help identify segments of the community that are exposed to discrimination and marginalization or are at heightened risk of violence or exploitation. The mapping should be done as a participatory assessment, with full engagement of all segments of the community, to enable self-identification by the community of the best sources of information, influence and support. A participatory approach can also help establish rapport with the community.⁵ Mapping exercises must follow strict safety and ethical guidelines.⁶

⁵ For safe and ethical approaches to mapping and community conversations on GBV, see Ellsberg and Heise 2005.

⁶ See also World Health Organization 2001.

THE COMMUNITY: A RISK MANAGEMENT PARTNER

• Identify local partners and sources of support. The mapping should locate and provide information on available community resources, such as community-based or local organizations or leaders, including groups advocating for children's rights, women's groups, child- and youth-led organizations, key influencers and leaders who are accepted, trusted and known to the community, as referenced in the previous section. Such organizations and individuals may be identified across multiple levels: formal (e.g., NGOs, teachers, health workers, police officers); semiformal (e.g., local community-based groups, community leaders), or informal (elders, other influencers). Each can serve as a source of information or as a hub for disseminating information, as well as a source of support to provide timely services to survivors of violence. A mapping exercise is also a way to introduce the project to the community and begin to engage with them as active partners.

2. ENGAGE WITH COMMUNITIES TO BUILD TRUST AND TRANSPARENCY

• Ensure engagement with communities is a continuous, two-way interaction. Use community engagement to listen to and learn from communities, as well as to share and feed information about project assessments and activities back into communities. Community engagement must be continuous, occurring throughout the life of the project and not just during project initiation and design. Continuous interaction can inform communities regularly of project progress and about evolving or potential risks. Continuous communication should also include information sharing on mechanisms for reporting problems, emphasizing both project-level grievance redress mechanisms and the independent Inspection Panel as a way for communities to appeal to the Bank when other channels fail. Active engagement with communities in this manner will increase the likelihood that problems will be reported before they evolve into actual cases of SEA. The World Bank's new guidelines on community consultation, as described in Environmental and Social Standard (ESS) 10 (Table 3), provides guidance for stakeholder engagement. Those guidelines should be adapted for the special requirements for SEA and used as a part of ESS 10 for borrowers and implementing partners, as well as adapted to serve as guidelines for Bank staff.

⁷ The Inspection Panel is an independent complaints mechanism for communities and individuals who believe that World Bank-funded projects have adversely affected them. More information about the Inspection Panel is available at http://ewebapps.worldbank.org/apps/ip/Pages/Home.aspx

TABLE 3: REQUIREMENTS OF STAKEHOLDER ENGAGEMENT IN ESS 10

REQUIREMENTS	KEY ACTIONS
Stakeholder identification and analysis	Identify both project-affected and other interested parties, particularly those who are most disadvantaged and vulnerable. Differentiate between groups in terms of concerns and priorities about project impacts, as well as mitigation mechanisms and benefits. Determine whether the groups require different or separate forms of engagement.
Stakeholder engagement plan (SEP)	Based on the analysis, describe timing and methods of engagement throughout the project cycle and the range and timing of information to be communicated to each group, as well as measures to be taken to remove obstacles to participation.
Information disclosure	Share with stakeholders the purpose, nature and scale of the project; duration of project activities; potential risks and impacts ways in which stakeholders can be engaged; time and venue of public consultations; and process and means by which grievances can be raised and addressed.
Meaningful consultation	Engage in a two-way process that begins early in the project planning process; encourages input and feedback; is on-going; occurs in a culturally appropriate format and in a locally understood language; responds to feedback; supports active and inclusive engagement; is free of external manipulation, interference, coercion, discrimination, and intimidation; and is documented and disclosed by the Bank.

- Design community interaction to build trust. This should include early, transparent disclosure of anticipated project activities and intended outputs and expectations for contractor and worker behavior, including reviewing the workers' code of conduct with local leaders to solicit input and feedback on unacceptable behaviors.
- Ensure that continuous engagement with communities informs project implementation and supervision mechanisms. Supervision activities should include requirements for continuous community engagement. This may entail building it into contractor and supervisory engineer contracts, as well as ensuring it is included in Bank staff checklists on effective supervision for environmental and social issues. Benchmarks for continuous community engagement should be built into the project plans and milestones for project implementation.

3. USE INNOVATIVE COMMUNICATION CHANNELS FOR ENGAGEMENT AND FEEDBACK

Use social media and text messaging for continuous dialogue with communities. Extend the reach of
traditional mechanisms for dissemination of information from the project in this way. Test understanding
of key pieces of messages through tools such as UNICEF's U-Report and use multiple communication
channels to listen and learn about the impact of the project on the community.

THE COMMUNITY: A RISK MANAGEMENT PARTNER



CONTRACTORS AND CONSULTANTS:

Accountable Partners

"

Our company takes its social responsibility seriously. When developing our Codes of Conduct we have learned that gender-based violence, domestic violence and violence against children is happening in a lot of communities in the country. The message from the highest level of the organization is to ensure that all our employees consider the issue of utmost importance.

-from an international construction firm working in East Asia.

Construction companies and supervisory engineering firms play a central role in the implementation and management of project activities; their performance is critical to strategies to prevent SEA in infrastructure and related projects. The construction of civil works is the responsibility of construction firms contracted by Government. The lead contractor often sub-contracts part of the works or related services to other contractors. Supervisory Engineering firms, also contracted by Government, oversee the works and ensure that the contract is being conducted in accordance with its provisions and sound engineering practices. These assurances provide the evidence that triggers payment against the contract or, in the case of default, triggers remedies. Together, the physical presence of these firms and their workers in local communities-including workers hired to undertake construction and other activities—are the most immediate and visible manifestation of project implementation. As the Transport Project in Uganda demonstrated, failure to carry out their obligations can have a significant impact not only on the safety and well-being of communities, but also on the credibility and overall reputation of both the Government and the World Bank.

The World Bank does not have a direct relationship with contractors or consultants during project selection and implementation but instead manages the relationship through government implementing agencies. The Bank does, however, play a critical role in designing the base contractual obligations that governments adopt to ensure that contractors have the capacity to perform in ways that are consistent with the social and environmental safeguards that have been built into project designs and to hold contractors to account. Bank procurement processes, including use of Standard Procurement Documents (SPDs) and Standard Bidding Documents (SBD), with which the Borrower agrees to comply for international competitive bidding, provide the basis for ensuring that contractors and consultants fulfill their obligations.

Sound management of labor influx into vulnerable communities is critical to reduce the risk of SEA. Challenges related to temporary influx (which is not necessarily short term and can last several years) into a vulnerable community that might be rural, small, and remote are discussed and addressed in the World Bank Labor Influx Guidance Note. The Uganda case demonstrated the increase in the risk of SEA when outside labor enters a community. This can range from sexual harassment to sexual abuse and exploitation of women and children. Other adverse impacts can include increased demand for goods and services, which raises prices and crowds out local consumers; increased traffic and road accidents; increased demand on the ecosystem and natural resources; social conflicts; risk of spread of communicable disease; and illicit behavior and crime.

Labor influx risks can be managed and good practices are emerging. Key principles of the Labor Influx Guidance Note, which the Task Force supports, are reduction of risk by tapping into the local workforce where possible, assessing and managing labor influx risks and developing appropriate mitigation plans, and building social and environmental mitigation measures into the civil works contracts. Worker Codes of Conduct, such as those described in Box 5, are now mandatory under the new Procurement Framework and will be an important part of the prevention agenda. Bank guidelines for Contractor Codes of Conduct could



CONSTRUCTION
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be more explicit on the expected treatment of SEA. Emerging practice (see Annex 5) shows that recent Codes of Conduct outline expectations for behavior and conduct and often include articulation of sanction measures bolstered by awareness raising and training.

Box 5: Developing and Implementing Codes of Conduct in World Bank Operations

A number of World Bank operations have begun to explore how to ensure project activities guard against potential risks related to sexual exploitation and abuse and other forms of GBV.

Under the Vanuatu Aviation Investment Project, provisions have been embedded in bidding documents for runway civil works that stipulate contractor responsibility for the implementation, enforcement and monitoring of a Code of Conduct covering GBV. Contractors are also responsible for development and implementation of a complimentary Action Plan to ensure effective implementation of the Code of Conduct. The project has consequently established The Codes of Conduct and Action Plan to Prevent GBV as well as Child Abuse and Exploitation, which introduces a set of key definitions and core Codes of Conduct and guidelines that establish mechanisms for reporting, addressing, monitoring and sanctioning GBV and child abuse on the work site and in the immediate surrounding communities. The Codes of Conduct further establish that age of consent for engaging in sexual activity is 18, with censure measures identified for those who do not comply. This measure is notable given that, according to national law, age of consent is 16. The Codes of Conduct aim to prevent and/or mitigate the risks of GBV within the context of the Vanuatu Aviation Investment Project and in Tuvalu and Samoa. The Codes articulate different levels of accountability and responsibility, including: i) the Company ii) the Managers of the Company; and iii) the individual Construction workers. Samples of the Codes are included in Annex 5.

Through the contractor, the project has also established a working partnership with local organiza-

tions to manage referrals and provision of services for those who experience GBV in the event an incident occurs. This approach is being tested and monitored to ensure rigorous learning on effective practices and holds the potential to offer a model for implementation to be deployed across the region.

In the Great Lakes Region, the Great Lakes Trade Facilitation Project (GLTFP) attempts to address pervasive incidence of GBV in small-scale cross-border trade. The GLTFP intends to improve the efficiency, capacity, and security of border operations in the Democratic Republic of Congo, Rwanda, and Uganda through training, sensitization, policy and procedural reforms, and infrastructural development at targeted borders. The project seeks to introduce a Charter of Rights and Obligations for traders and officials, along with a Code of Conduct and Action Plan to prevent and mitigate GBV risks in border construction projects. As part of the obligations arising from signing a contract to develop infrastructure under the GLTFP, the Contractor is obligated to develop a costed GBV Action Plan covering the duration of the project and a complete Code of Conduct for the prevention of GBV. All company employees are required to abide by provisions articulated within this Code of Conduct, while the Action Plan will include Standard Operating Procedures detailing reporting, response and sanctioning protocol in case of incidents, an awareness raising strategy, a monitoring strategy, division of roles and responsibilities between internal teams tasked to manage GBV-related issues and a community-based GBV grievance and redress desk, and support measures for employees affected by GBV.

Workers' rights, health and welfare need to be addressed as well. As discussed in the Labor Influx Guidance Note, camp accommodation with a range of services for worker health, safety and recreation may be a way to care for the welfare and needs of workers in remote rural areas, particularly where there is limited local government and law enforcement presence. Workers who are brought into urban settings can be accommodated more easily

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in local housing, making separate worker's camps less necessary. Workers brought in from other communities should be given the opportunity for rest and recreation, supported by allowances, so that they can visit friends and family outside of the host community. Workers, particularly women, can also be vulnerable to sexual harassment, exploitation and abuse on the worksite. Contractors should be expected to have anti-sexual harassment policies, provisions for reporting and responding to complaints, and whistleblower protections.

There have been significant efforts to create an enabling environment for sound contractor and consultant performance on environmental and social risks through the new Procurement Framework. The aim is to integrate these risks into procurement processes, contract provisions and legal documents so as to outline expectations, accountabilities and requirements for contractor performance and behavior. These include:

- Procurement Plans prepared based on assessment of risks, contractor capacity, and markets allowing contracts to be customized to respond to high environmental and social risks.
- Strengthened specifications in bidding documents and contracts establishing clear expectations for contractor performance with respect to environmental or social safeguards; expectations included in pre-bid conference; and key performance indicators hard-wired into the contract.
- Mandatory Codes of Conduct.
- A portion (1-3 percent) of the contract price to be guaranteed by a performance security linked to
 environmental and social contractor performance, where the environmental, social, health, and safety
 (ESHS) risks are significant. The ESHS and normal performance security should not exceed 10 percent
 of the contract total.
- Provisions in contracts for dedicated payments to contractors for SEA and GBV prevention activities (e.g., training) against evidence of completion.
- Bank involvement in the bidding process in fragile and low-capacity environments is now permitted in exceptional circumstances.
- Increased expectations for performance of Supervisory Engineers who the Government has hired to provide on-the-ground, real-time supervision.

While still nascent in many markets, the international contracting and consulting communities are increasingly responding to demands for higher standards of social and environmental performance. This provides them not only with a "license to operate" but also a broader focus on sustainable development that can drive business competitiveness. Strengthening expectations for contractor and consultant performance can encourage a broader set of firms to move in this direction, with an effect beyond World Bank-financed projects. One corporate partnership, Building Responsibly, is made up of a coalition of international engineering consulting and construction firms. Its mission is to "promote the rights and welfare of workers in the engineering and construction industry by developing common approaches and standards, sharing learning and tools, and engaging workers and other stakeholders on the specific challenges companies face." Corporate Codes of Conduct are common for international construction companies and are beginning to include language that includes assertive statements against use of forced or child labor and prohibiting ill treatment or abuse of human rights of people in communities where they operate.¹⁰

⁸ For an example of an Anti-Harassment Policy in other industries includes: http://www.gapinc.com/content/dam/gapincsite/documents/COBC/COBC_english.pdf

⁹ https://www.bsr.org/en/collaboration/groups/building-responsibly. Member firms are Amec Foster Wheeler, Bechtel, CH2M, Fluor, MULTIPLEX Middle East. and Vinci.

¹⁰ The Amec Foster Wheeler Code of Business Conduct, page 19, is an example (https://www.amecfw.com/documents/downloads/about-us/amec-foster-wheeler-code-of-business-conduct.pdf).

The Bank has already taken advantage of these new processes and requirements as they present an ideal opportunity to integrate strategies to prevent and respond to SEA. Many of the Task Force recommendations presented below focus on the link between the new Procurement Framework and ESF as a means of ensuring that Contractors adhere to proper standards and that Supervisory Engineers expand their writ to include oversight of this aspect of contractor performance. The recommendations build on the new Bank policy framework and ongoing actions already being taken in response to the Uganda Inspection Panel report and management's review of Lessons Learned. The Task Force recommendations below focus on the most critical of these, and focus on the behaviors and capacity required to put the policies into effective action.

Recommendations

1. LINK PROCUREMENT PROVISIONS TO THE SEA RISK ASSESSMENT

- For all civil works contracts, contractors must declare during pre- or post-qualification whether any contracts have been suspended or cancelled, or bid bonds called for incidents related to SEA and GBV. The Bank's updated SPDs have already introduced this requirement for all ESHS issues. Firms are required to provide evidence that problems have been sufficiently resolved to provide confidence that they will not occur again. Disclosure of past incidents will trigger more-intensive due diligence by the government PIU to assess whether the firm has demonstrated sufficient capacity for prevention and risk management. If steps taken by the contractor are not satisfactory, the bid should be disqualified. Initially, it is unlikely that this provision will yield evidence of poor contractor performance because it has not yet been the practice to include strong contract provisions designed to prevent SEA, nor have sanctions been levied. Nonetheless, requiring disclosure in the first instance sets a standard for accountability and puts firms on notice about the seriousness of this issue. As a track record of performance is established, such disclosure will become an important part of the selection process. A database to gather and track such disclosures should be established.
- Codes of Conduct, which are already mandatory for all contracts under the new Procurement Framework, should include specific prohibitions against SEA. This should include, in particular, a prohibition of any sexual activity with children, defined as anyone under the age of 18, residing in the project area. While national standards, statutes and legal policies may have a different age of consent, for the purposes of guarding against exploitation of children in Bank-financed projects, this higher international standard—which is embedded in similar contracts for UN activities and in the initial Codes of Conduct prepared recently for Bank Projects (Box 5)—should be taken as the governing standard for the behavior of contractors, managers and workers. Codes of Conduct should further define a range of sanctions proportionate to the event, for example, warnings for incidents of community harassment, such as cat calling, versus dismissal for incidents of sexual abuse.
- For High Risk Projects, Contractors bidding on civil works should demonstrate that they have the capacity to manage SEA risks. The recent updates to the SPDs introduced ample flexibility within existing related requirements to include these specific provisions. The documents require bidders to provide management strategies and implementation plans and qualified key personnel to address the specific risks identified in the project. If the plans and personnel proposed are not suitable, the bidder is given the opportunity to comply with the minimum standards (e.g. substituting staff and strengthening plans) to remain responsive or face rejection. Contractor bid evaluation and selection processes that consider the strength of contractor environmental and social risk management plans, capacity and key personnel should be considered. Contractors should have GBV prevention and response Action Plans and should specify key staff with the technical skill and experience to monitor and manage risks related to GBV.

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Consideration should be given to piloting contractor-supported funding mechanisms, such as escrow accounts, to provide immediate support to survivors. The World Bank should further develop a template outlining the type of information required to demonstrate capacity to manage SEA risks. This template should provide guidance to bid evaluators as to which capacities are mandatory when the contract enters into force and which can be phased in over the life of the contract.

- For High Risk Projects, Contractors must have plans in place for ensuring that staff at all levels, including managers, workers and day laborers receive SEA awareness and sensitization training, including reviews of expectations under the Code of Conduct. Provisions for dedicated oversight staff with the appropriate skills should be included. These costs should be budgeted and contractors reimbursed separately against unit costs as a means of providing an incentive and to level the playing field for bidders. The recent revisions to the SPDs allow for inclusion of these requirements, based on specific risks identified in the contract's operating environment. These provisions should cascade into subcontracts.
- For all contracts, Contractors should have sexual harassment policies governing conduct in the work-place. Policies on non-retaliation and protections for whistleblowers should be included in these protocols. The revised SPDs require borrowers to set a clear ESHS policy including sexual harassment and GBV. These are also expected to be included, as minimum requirements, in the Contractor's Code of Conduct. Illustrative templates should be developed for these policies.
- For all contracts, contractors should be required to develop internal reporting and redress protocols in case of allegations of SEA. These should include provisions to protect confidentiality of those reporting allegations. For transparency, incident reports and actions should also be reported to the Supervisory Engineer and logged into the project Grievance Redress Mechanism (GRM). The revised SPDs require monthly reports of all grievances and instant reporting of any allegations including of sexual harassment, sexual misbehavior, child abuse, defilement, or other violations involving children.

2. ENSURE SUPERVISORY ENGINEERS PLAY A STRONG MONITORING ROLE FOR SEA

- For High Risk Projects, Supervisory Engineers' Requests for Proposals (RFPs) should set explicit
 expectations for the consultant's role in monitoring Contractor performance of its SEA obligations.
 Consultant proposals should specify the dedicated personnel who have the qualifications, knowledge
 and capacity to work on SEA-sensitive issues (e.g., a sociologist trained to detect such challenges) and
 the approach they will take to fulfill these obligations. The revised RFP template for consultants requires
 that supervisory staff have the skills necessary to manage risks identified in the project.
- For all projects, any SEA incidents and complaints that come to the attention of the Supervisory Engineer should be registered in the Project's GRM. The protocol should include provisions to protect confidentiality. For egregious incidents (e.g., sexual assault) a protocol for immediate, timely mandatory reporting to the Government and to the World Bank should be developed and agreed with the Borrower and included in the Consultant contract. Requirements for instant and monthly reporting have been included in the standard RFP documents for consulting engineers, similar to those for contractors discussed above.

3. STRENGTHEN MONITORING

Third-Party Monitoring should be required for High Risk Projects. The Supervising Engineer will be a
critical actor in monitoring contractor performance on SEA issues. A strong GRM system that provides
confidentiality can also be the basis for detecting and resolving problems as they arise. Nonetheless,
these mechanisms are not well understood or tested in the context of SEA. Because of the sensitive na-

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ture of this issue, with possibility for grievous harm to women and children, High Risk Projects (including when the risk rating increases during project implementation) warrant an extra layer of monitoring. The Third-Party Monitor's Terms of Reference (TORs) should be focused on ensuring that provisions to prevent and respond to SEA are in place and functioning. The Monitor should not be given an investigatory function but can ensure proper safeguards are being followed and provide early warning of problems that surface. Third-Party Monitoring of SEA should be included at least for High Risk Projects at least for projects entering the portfolio over the next three to four years. This should provide time for the Bank to assess the conditions under which Third-Party Monitoring should be used. After this phase, the Bank can fine-tune the criteria for cases that might require a Third-Party Monitor.

• The selection of a Third-Party Monitor should respond to the project context, scope and reality on the ground. The feasibility of contracting with a local civil society organization or an international or regional NGO with local presence that the community perceives to be independent and trusts to provide on-the-ground, real-time monitoring should be strongly considered. Alternatives may include bringing in a specialized, independent technical expert with provisions for periodic visits to the site (e.g., quarterly). Other possibilities include building on dispute board mechanisms provided under International Federation of Consulting Engineers (FIDIC) guidelines. While in most cases the Borrower will contract the Third-Party Monitor (costs can be covered under the loan or credit), in some limited cases—such as in conflict zones or disaster recovery projects with low government presence and capacity—the Bank might contract directly after evaluating the potential legal liability and reputational risks. In all cases, the role and reporting responsibilities should be specified in the Bank's Legal Agreements, with timely availability of reports to the Bank.

4. WORK WITH INDUSTRY TO RAISE THE BAR

- The Bank should partner with leading contractors, consultants and industry associations to develop
 an industry engagement and capacity building plan for SEA prevention. The goal is to build a coalition
 that will champion change, support development of best practices, and generate knowledge and associated learning tools. This coalition should be encouraged to support outreach and training for regional
 contractors and consulting firms, perhaps in collaboration with regional industry associations.
- Bank-supported country and regional procurement training and awareness raising aimed at Industry should include a module on GBV and SEA. This training can leverage ongoing sessions aimed at disseminating the new Procurement Framework. Engagement on improving ESHS performance is already underway with industry and industry associations. For example, the Bank is engaging with FIDIC and the Chinese International Contractors Association (CHINCA), has conducted several workshops with contractors and consultants, and is conducting periodic webinars for the private sector.

¹¹ The International Federation of Consulting Engineers (FIDIC) is an international standards organization representing consulting engineering and construction firms globally.

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Governments—at the national, regional and local level—are essential actors in preventing and mitigating against the risk of SEA and other forms of GBV. They should recognize the importance of their own role because, as mentioned earlier, the consequences and impacts of GBV, including SEA, have implications for individuals, as well as household and communal stability, social cohesion, and sustainable development more broadly. There are heavy economic costs associated with GBV, including impacts on productivity and costs to public resources. These impacts coalesce to impede wider efforts toward poverty reduction, social inclusion and human resilience

Client governments, which are responsible for project implementation, need to serve as the primary actors in preventing and responding to SEA and other forms of GBV at the project level. They need to be responsible for ensuring compliance with safeguard management plans and instruments, for introducing procurement provisions to reduce risk, and championing approaches to ensure that survivors of SEA receive redress, including access to justice and social and health services. Governments should also be responsible for strengthening law enforcement to address the potential negative consequences of projects with a heavy influx of labor.

Implementation of such measures to address risks related to SEA may require strengthening of government capacity. Providing the resources and technical support for such capacity building has the potential to benefit individual projects and to strengthen Government leadership on GBV across a range of sectors. Such systemic change, in turn, could yield benefits not only for World Bank-financed projects, but also for the country's broader development agenda.

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GOVERNMENTS—
AT THE NATIONAL,
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ABUSE AND OTHER
FORMS OF GBV.

Recommendations

1. BUILD GOVERNMENT COMMITMENT AND OWNERSHIP

- Target technical ministries and Project Implementation Units (PIUs) as focal points for awareness raising and capacity-building interventions. As lead technical ministries responsible for management and oversight of project implementation, they are ultimately accountable for monitoring environmental and social risks and ensuring compliance with monitoring and reporting requirements articulated in the Bank's environmental and social safeguard instruments. They are also responsible for procurement activities and contractor oversight and management. Ensuring understanding of the relevance and importance of addressing SEA as a key facet of project design and implementation, including in procurement and ESF compliance, and as a central development objective in and of itself is critical. Interaction and engagement on SEA and GBV between the Bank and the relevant technical ministries should begin during project initiation and design and continue through the life of the project.
- In High Risk contexts, include Local Governments and other relevant sub-national administrations in client engagement on project-related

risks of SEA and GBV. Although the Bank's primary point of engagement with Government is most often at the central level, sub-national Government actors are critical partners for managing and monitoring risks related to SEA and GBV, particularly at the local level. Local officials are a primary point of access to communities affected by Bank projects and can be important sources of information on community dynamics and risks related to project implementation. Capacity-building and awareness activities must therefore seek to include Local Government.

2. BUILD COUNTRY CAPACITY TO ADDRESS GBV

- Leverage project launch activities as an opportunity to strengthen ownership and awareness of the
 need to monitor and address risk of SEA and GBV. Client engagement and deliberation on risks related to SEA and GBV should begin during project identification and design, in alignment with social risk
 management requirements, so that any prevention or mitigation interventions can be integrated into
 the design of the project. At the same time, for projects deemed to be at Substantial or High Risk of
 SEA and GBV, project launch activities should include robust dedicated sessions to build awareness and
 understanding of provisions linked to SEA and GBV. When feasible, such sessions should include ministry partners whose mandate is to address GBV, such as ministry-level gender or social welfare experts.
- Develop specific SEA learning modules and guidance as part of the ESF and procurement reform roll out. The roll out of the new ESF includes capacity building for Government partners, including development of e-learning modules and in-person training to build understanding of requirements under the new Framework. It is imperative that a specific SEA learning module be included in e-learning and in-person trainings. Learning modules should also include the ways in which the Procurement Framework should be leveraged to prevent SEA, particularly for High Risk Projects. In turn, training on the new Procurement Framework (which is ongoing) should include a module on SEA- and GBV-related provisions. In addition, provisions will need to be made to ensure that the module on SEA reaches those who have already received training on the new Procurement Framework.

3. STRENGTHEN GRIEVANCE REDRESS MECHANISMS FOR SEA

- Bolster the project-level Grievance Redress Mechanism (GRM). The Bank's Grievance Redress System (GRS) has three tiers: project-level GRMs; the Grievance Redress Service, which is the corporate system that allows complainants to file complaints directly with the Bank; and the independent Inspection Panel. GRMs are mandatory in the new ESF and are the focus of this series of recommendations. Mechanisms to track complaints specifically linked to SEA and GBV need to be incorporated into the project-level GRM system. GRM systems should ideally include multiple access options for communities (e.g., telephone hotlines, text messaging, in-person reporting). Efforts should be taken to develop best practices on ethical and confidential data collection for SEA and GBV, building on learning emerging from existing operations (e.g., Vanuatu Aviation Investment Project). There should also be a mechanism for immediate feedback on actions taken or in process to address a filed complaint. Regular and reliable feedback on actions taken—including any sanctions—is necessary to build trust in and credibility of a GRM system. These are good practices for GRMs generally, but they are of critical importance for cases of SEA-related complaints. Importantly, GRM systems should complement and align with existing complaint mechanisms, particularly the Inspection Panel, which remains a critical channel for community reporting and engagement.
- Establish mechanisms to ensure confidentiality of individuals without compromising access to justice. Because stigma, retaliation and fear are typically associated with SEA, it is critical for survivors of SEA to be guaranteed necessary protections, in particular ensuring that complaint and reporting mechanisms.

anisms provide for confidentiality and anonymity, while also ensuring access to assistance and reliable recourse to justice, where available, or redress. This will require sensitive, reliable pathways for survivors or witnesses to file complaints, receive assistance and access the right processes for justice and/or redress, should they opt for those. Bringing in a third-party local actor to serve as an intermediary to register incidents in the GRM or to serve as the clearing house for all SEA-related complaints may help protect the identity of complainants overall. If acting as a clearing house, this intermediary actor should be linked to the project GRM to enable registration of information on the number and type of complaints within the GRM system without revealing the identity of the complainant. Ultimately, however, if the survivor chooses to seek redress, the implications for confidentiality must be fully explained, and the individual must receive assistance and support to access the appropriate processes after informed consent has been obtained.

- Use intermediary, local organizations to provide timely support services. The intermediary could also
 provide immediate support services to the complainant or refer the complainant to appropriate locally
 available service providers identified during the risk assessment and mapping exercise. Community
 organizations can also play a more formal role as Third-Party Monitors, as discussed in the preceding
 section on holding contractors accountable.
- Invest in building Bank GRM staff expertise on SEA to ensure their support for High Risk Projects. To have well-functioning GRM systems within projects for a sensitive issue such as SEA of children and women requires expertise. The Bank should be equipped to provide guidance and build capacity of Borrowers on the specialized nature of SEA. Invest in training of the Bank's GRM staff to become experts in how to design SEA- and GBV-sensitive GRM protocols who can then develop the modules and guidance for projects to institute strong mechanisms for reporting and responding to complaints related to SEA.
- Capture data from GRMs at a Bank-wide level to monitor functioning and for learning. Periodic review of emerging GRM design will be required to know whether the system is working. Such a review must assess indicators such as number of incidents reported, time taken to report and respond, and follow-up actions. Such periodic reviews would help identify where GRMs are failing but also find good practice examples of reporting and addressing GBV, which can be used to reward projects and promote further learning. Importantly, it should be noted that a measurable increase in numbers of reports may be indicative of improved reporting systems rather than of a surge in SEA or gross project failures.
- Develop a protocol to ensure that the GRM triggers the right level of action. A protocol should be developed for SEA complaints registered in a GRM that specifies, for each type of SEA, who should receive the information within the government and the Bank, within what period of time, and for what purpose (actions to be taken on the part of those receiving the complaints should be considered confidential information). The reporting protocol should be developed with consideration for the range of potential incidents, with adjustments in steps and actions taken depending on the severity of the case.

4. SUPPORT GOVERNMENT EFFORTS TO BROADEN ITS RESPONSE TO SEA AND GBV

In response to client-led requests, establish linkages between project-level responses and government strategies to build broader frameworks and action plans to address GBV. Many countries have committed in principle to international or regional conventions to prevent and address GBV. This may include, for example, the Sustainable Development Goals (SDGs), the International Convention on the Rights of the Child, and the Convention on the Elimination of All Forms of Discrimination Against Women (CEDAW). Many countries similarly have developed national policies or comprehensive frameworks, such as National Action Plans (NAPs) to enable a coordinated, multi-sectoral approach to ending vi-

THE GOVERNMENT: COMMITTED AND PREPARED

olence against women and children. Implementation of these initiatives, however, is often under-resourced and government capacity weak. Enabling linkages between project activities and existing national policies and frameworks could present an important opportunity to strengthen multi-sectoral coordination on GBV and implementation of these initiatives where they exist.

• Build connections with existing programmatic efforts to address GBV within the country portfolio. The Bank's current Country Engagement Model, including such instruments as the Systematic Country Diagnostic (SCD) and the Country Partnership Frameworks (CPF) to inform Bank engagement with client countries, are important entry points to highlight the need to understand and address challenges linked to SEA and GBV by governments and across the Bank's portfolio in a given country. The Bank has signaled a strong corporate commitment to increase the number of operations addressing GBV, as articulated for example in IDA 18 and in the 2015 Gender Strategy. The Bank's portfolio of projects and expertise in addressing GBV has also expanded substantially in recent years, and a number of operations across regions have initiated or increased policy dialogue with government partners on the issue with government partners. Moreover, the Bank has invested in developing a set of sectoral resources aimed at assisting Task Teams in identifying opportunities to address GBV within their operations. Dedicated in-country GBV operations may provide additional valuable local knowledge of risks and drivers of violence, as well as of key partners and community actors and potential response services. Sectoral projects at high risk of GBV should therefore seek to build on any broader existing efforts and establish connections with ongoing country-level GBV operations.

¹² See www.vawgresourceguide.org for additional guidance.

THE GOVERNMENT: COMMITTED AND PREPARED



THE WORLD BANK:

Responsible Change Agent

"It doesn't matter what country or culture you are from, who doesn't want to protect their children? In every country where we said we need to put in place a Code of Conduct to protect children, they said yes, let's do it.

-World Bank Task Team Leader

Photo courtesy of the United Nations, Stuart Price (photographer).

GBV is a risk in almost every environment where the Bank works, and project activities have a real potential to influence or exacerbate this risk. The World Bank, as part of its mission, has the obligation and the institutional strength to serve as the link which brings all the actors—the communities where projects are located, workers, contractors and consultants, and government clients—together to protect women and children from SEA. This requires partnerships with clients and beneficiaries and strong efforts to build capacity; policies and processes that uphold the highest standards in preventing and responding to SEA; a focus on building capacity in the contractor and consulting communities; and continual learning as all stakeholders wrestle with this challenge.

Clarity of roles and responsibilities is important. The Bank has introduced an Environmental and Social Risk System that defines internal roles and responsibilities for managing risk. This includes specialized staff who conduct project due diligence and review social assessments that project agencies conduct; a separate risk review by Operation Policy and Country Services (OPCS), which provides a further check; OPCS involvement in all High Risk projects; Regional Portfolio Risk Reviews to continually assess the portfolio to ensure that staffing, budgets, and management attention are paid to high-risk projects (although as discussed below, current budget coefficients may still be inadequate to implement Task Force recommendations) and to identify projects where unanticipated problems arise during implementation; and an Environment and Social Review Committee chaired by the Chief Environmental and Social Standards Officer that will provide advice and guidance to staff and escalate problems to Senior Management as needed. These mechanisms, along with clarity of policies, procedures and positive incentives, can provide assurances to staff that management is supporting them as they take on this sensitive issue.

Incentives matter. Bank staff are committed to ensuring project interventions minimize harm and extend broader positive benefits of project activities to targeted communities. At the same time, the Uganda case highlights key challenges that teams confront in drawing sufficient attention and urgency to sensitive issues such as SEA and GBV. Supporting staff rigor and engagement on these topics requires strong leadership from senior management. Key drivers include: the tone from the top; strong organizational values; positive recognition for those who report wrong-doing and for those who innovate; investment in knowledge and skills; and an adequate budget. Without all of these, policies and processes results will not change. The review of Lessons Learned from the Uganda project showed that failures occurred on many fronts. Bank management wisely chose to focus on learning from the failure rather than holding individuals accountable. This is the right approach. Indeed, it is likely that, with increased effectiveness of project reporting systems, the Bank will see an increase in the number of cases. It is important to avoid setting a tone of fear, which might discourage report and lead some staff to retreat into silence. Others might become risk-averse, avoiding working on important yet high-risk projects, or start escalating even minor problems instead of taking action when they can. An intentional approach, by putting in place positive incentives, is required to counteract perverse incentives. Combining a positive incentive framework with active managerial support will encourage the right behavior. With this framework in place, managers and staff can be held responsible for their performance.



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Specialized skill sets need to be developed. The Bank has few staff with the depth of knowledge and experience in preventing and addressing SEA in projects. All operational staff must become aware of the issue and the tools that can be used to address it. Social development staff will need training to support project risk assessments. Task Team Leader and procurement certification on SEA will help ensure that teams know the requirements. But in High Risk environments, highly specialized staff should be available for just-in-time deployment to help in the design of projects or to support response in cases of an incident.

The budget is critical. Budget increases to support the ESF and procurement reforms were included as part of the approval of these new policies. But these increases do not take into account the one-time costs to support introduction of the steps required to prevent and respond to SEA into Bank operations. This includes investment in: staff development and training programs; guidance notes and continuous learning; and client capacity-building on SEA. And while the budgets for project preparation and implementation support are scheduled to increase over the next few years, the basis for project coefficients has not yet taken into account the additional work needed to incorporate the new approaches to preventing GBV and SEA in Bank projects, especially during a transition period. The Task Force expects that the first time introduction in a country of the provisions for assessing risk and introducing GBV and SEA prevention and response mechanisms will require additional time and specialists. Budget requirements will remain unclear until there is a longer track record of what it costs to address the issue effectively. During an interim period, additional transitional funding, discussed in the recommendations below, will be needed to support case-by-case management decisions to supplement high-risk project budgets when there are exceptional needs that cannot be managed with the current budget coefficients given the nature of the project and its risks.

The World Bank is not the only multilateral financial institution that must grapple with this challenge. Strong World Bank action can provide the pathway for other international institutions, including Multilateral Development Banks (MDBs). In turn, building a coalition of MDBs to prevent SEA in projects they finance will be important to build momentum. Alignment of approaches and discovery of best practice can also help country partners respond with greater efficiency and effectiveness.

Recommendations

1. CHANGE STARTS FROM THE TOP

- The Bank's President and Chief Executive Officer should empower a champion from the ranks of Senior Directors from the relevant infrastructure sectors. Clear and repeated communication about the President's, the CEO's and Senior Management's expectations is critical; their messages to staff, clients and stakeholders, as well as strong actions to date, are encouraging. This effort needs to be sustained. The selected senior management champion should lead a group from across the Bank to monitor performance and push for timely implementation, ensure institutional learning and fine-tuning of actions as lessons emerge, and act as a focal point to identify and reward strong staff performance.
- Amplify and broadcast success and recognize staff who proactively report incidents and who adopt good practices and innovations. Success begets success. If Task Teams see evidence that good work is rewarded, this will promote replication of best practice. Particular care should be taken to recognize country office staff. In line with the expectations that risks should be continuously monitored and projects adjusted accordingly, staff recognition should focus on how teams are supervising projects, how they address problems as they emerge, and how they collaborate with civil society. The Champion should focus on staff recognition, broadcasting good practice and ensuring that managers incorporate positive feedback on exceptional performance into staff performance appraisals.

• Once guidance, processes and tools are in place; staff are trained; and budgets are available, send a message of managerial and staff accountability, but do so carefully. Staff and managers cannot be held accountable for sexual misconduct of others or for performing the roles (law enforcement, investigation, redress) of the government. But they can be held accountable for ensuring effective supervision, including a focus on government and contractor compliance with Bank requirements and recommending management action for non-compliance. The Bank's response will require managerial judgment. Best practice still needs to be developed as new questions arise, and many of the practices that the Task Force suggests will need to be reviewed as these initiatives evolve. As such, the Bank in the first instance should place particular emphasis on promoting Practice Managers' accountability. Practice Managers should not simply devolve responsibility to Task Teams but should instead provide them the support needed to do an effective job.

2. SPEAK TO VALUES TO BUILD COMMITMENT FOR ACTION

• Introduce the link between prevention of SEA in Bank projects and the Bank's core values. Staff and managers join the Bank because they believe in the Bank's mission and want results that benefit people. But behavior change will be needed to maintain traction. This will require an emphasis on promoting the message that prevention of GBV and SEA is critical to development and to promoting human dignity and safety. Measures should include building understanding of the links between projects, SEA, and development outcomes using unconventional approaches to build understanding (e.g., storytelling, films on individual cases). "Walking the talk" can also be fostered through dialogue on expectations for Bank staff in preventing SEA in the workplace and in Bank operations as part of the ongoing Office of Business Ethics exercise to update the Bank's Core Values and in discussions of the Bank's own staff Anti-Harassment policies.¹³

3. CLARIFY OPERATIONAL POLICIES AND PRACTICE

- Prepare a Staff Guidance Note, linked to the ESF, that consolidates the policies and processes that
 have been developed, including as applicable, the Task Force recommendations. The response to the
 Uganda incident has resulted in a plethora of guidance memos and notes. These need to be consolidated and linked to the broader ESF and Procurement systems. This should include a clear accountability
 framework that specifies the role of different actors (Government, Contractors, Bank, including for response in case of an incident).
- Establish a clear protocol for Bank Staff reporting of serious project-related allegations and incidents in a timely manner to the right level of management, as well as a protocol for recommended internal response measures. While prevention is the focus, active reporting and response protocols that provide practical guidance on when and where to report incidents and what actions should necessarily follow need to accompany this. An example of the components of such a reporting protocol, based on a model developed by UNICEF, is provided in Annex 6. Additional resources should be made available to develop a timely response protocol to guide staff in responding to egregious incidents (e.g., initially from the GBV Prevention and Mitigation Fund—discussed below—and thereafter from regular budget mechanisms).

¹³ For an example of an Anti-Harassment Policy in other industries includes: http://www.gapinc.com/content/dam/gapincsite/documents/COBC/COBC_english.pdf

4. BUILD STAFF CAPACITY AND SKILLS

- Embed SEA and GBV training modules into existing staff training systems. This should include:
 - » Incorporating SEA modules into ESF, Safeguards and Procurement Training for specialists
 - » Incorporating GBV and SEA requirements into Task Team Leader (TTL) accreditation through e-learning modules, face-to-face learning and testing
 - » Training OPCS GRM specialists on GBV and SEA
 - » Holding sessions on GBV and SEA in Sector Weeks and associated training

Importantly, any training materials developed should highlight the different approaches to identifying and responding to risks of SEA and other forms of GBV affecting children, as well as varying tools for address SEA and GBV affecting women and other at-risk groups.

• Quickly increase the number of highly specialized staff who can be deployed to support teams in a dedicated "Master Class." This class should aim to include approximately 20 (roughly 10 percent of social development staff) high-performing social development staff or other staff with appropriate skills who will be provided with high-quality training from leading experts, as well as opportunities for experiential learning (for example one week per staff to support GBV and SEA project activities outside of their normal work assignments). These staff members should expect to contribute to the Bank's knowledge base (e.g., development of best practice notes). These staff should also be available to be deployed, once trained, for quick engagement in High Risk projects.

5. SUPPORT CONTINUOUS LEARNING THROUGH MONITORING AND EVALUATION

- Conduct reviews of a sample of High Risk projects over a two- to three-year period. Given that practice in this area will evolve over the next few years, an evaluation and learning process should be implemented to capture lessons learned on how risks are managed and to understand new risks that were not anticipated; to understand how policies and processes are being implemented and whether they are yielding results; and to understand the skill and budget dynamics. A review in 2018 can be relatively light given that there is currently a limited number of projects with SEA prevention features and that management is already following these projects closely. By 2019, a broader portfolio will have been established, making a more-thorough desk review timely. These reviews should feedback into staff and client guidance and help fine-tune processes.
- Request a review by the Independent Evaluation Group after 4 years. The independent evaluation can help assess what is working and where there are gaps and identify success stories and examples of good practice.

6. RECOGNIZE THE TRANSITION COSTS AND PROVIDE ADEQUATE FUNDING

Allocate dedicated one-time surge funds to training and knowledge development for staff and clients. A two-year budget to cover the incremental costs associated with introducing new SEA prevention and response measures is estimated at \$615,000. This includes provisions for staff capacity building (\$340,000); Guidance notes and knowledge (\$115,000); Borrower, Community and Contractor toolkits and communications (\$165,000).

THE WORLD BANK: RESPONSIBLE CHANGE AGENT

- Establish a two-year, time-bound GBV Prevention and Mitigation Fund. This would be an internal budget supplement fund, managed by a Vice President (with the advice of the Environmental and Social Risk Committee) who would allocate additional resources to High Risk projects where the normal budget flexibilities built into the system are not sufficient. If an average of \$50,000 were allocated per High Risk project that required additional support, a fund of \$1 million could cover 20 projects. After two years, the fund mechanism would cease, with the expectation that cost experience from these two years will be translated into project coefficients in the normal course of operational budgeting. During the course of each of the two years, the responsible Vice President could release funds back to the broader budget if it appears that funds will not be used. The Fund would also provide flexibility to respond to changing risk profiles during project implementation. This will set the incentives for continuous monitoring of risks to enable teams to feel assured that funds will be available if the risk rating needs to be heightened.
- Ensure funds are available for country capacity building. Clarify that Project Preparation facilities are available for SEA project-related capacity-building work. Work to establish a coalition with industry that could support SEA training and capacity building for regional contractors and consultants.

6. BUILD MOMENTUM BY WORKING WITH OTHER MDBS

• Build a coalition of like-minded MDBs using existing Working Groups. Strategies, policies, and actions to address SEA in MDB operations should be put on the agenda for the MDB Working Group on Safeguards and Working Group on Procurement, with the goal of working toward alignment of goals, policies and procedures.



BRINGING IT ALL TOGETHER:

SEA Prevention and Response In the World Bank Project Cycle

"

The World Bank is committed to be a global leader in Environmental and Social Standards in the development sphere, and part of that critical responsibility is to watch projects closely and ensure that risks are properly addressed.

-Jim Yong Kim, World Bank President

The Project Cycle—from project concept to identification to preparation and appraisal to implementation—provides the main guideposts for actions to prevent and respond to SEA in Bank-financed projects. The recommendations can be mapped against the Project Cycle to show Bank staff and partners in the Government, Communities and Industry the steps that need to be taken to address this issue. Table 4 presents the Task Force recommendations throughout the Project Cycle. The main audience is Bank staff so that they have clarity on what is expected as part of Bank due diligence.

TABLE 4: BANK ACTIONS TO PREVENT SEXUAL EXPLOITATION AND ABUSE (SEA) THROUGHOUT THE PROJECT CYCLE

RECOMMENDATION	PROJECT CONCEPT AND IDENTIFICATION	PROJECT PREPARATION AND APPRAISAL	PROJECT IMPLEMENTATION		
AT THE CENTER: WOMEN AND CHILDREN AT RISK					
Strengthen risk assessments and use to trigger action	Conduct SEA risk screening and assessment in conjunction with social risk assessment SEA risk rating in Systematic Operations Risk-Rating Tool "High" triggers action (budget; team skills; specialized project provisions and Bank due diligence, including OPCS Oversight)	For High Risk: ID specialized agencies (health, law, justice, psychosocial support, safe houses/shelters) that should be included in SEA-related project design	Continuous monitoring over project life If higher-than-expected SEA risks emerge, upgrade risk rating and trigger mitigation action		
Educate and raise awareness of women, adolescents and children on SEA	Identify women and children most at risk in communities Identify and support appropriate expertise to educate and consult with children	Organize awareness raising and education sessions for women and children on legal rights and services available to them	Organize awareness raising and education sessions for women and children on legal rights and services available to them		
Identify service providers for survivors of SEA	Conduct scanning and mapping exercise to identify available service providers for survivors of SEA; if none locally available, identify opportunities for capacity building or provision of external support	Identify full range of service providers: case management, health, psychosocial, shelter, security, legal services, police, security Provide adequate support for services not available locally	Monitor efficacy of service arrangements		
Identify modalities to enable compensation or longer-term economic support to survivors		Pilot inclusion in project design of mechanism to enable financial support if required to survivors and opportunities for engagement in livelihood or employment activities	Monitor effectiveness of funding mechanism or associated activities if deployed		

RECOMMENDATION	PROJECT CONCEPT AND IDENTIFICATION	PROJECT PREPARATION AND APPRAISAL	PROJECT IMPLEMENTATION		
	THE COMMUNITY: RISK MANAGEMENT PARTNER				
Engage community partners	Integrate community scanning and mapping into risk assessment for SEA of potentially High Risk Projects Identify local leaders and potential community partners	High Risk projects: When designing Third-Party Monitoring, strongly consider use of community organizations with local presence with expertise in SEA and GBV	Continuous two-way engagement with leaders and partner organizations		
Build trust and transparency		Ensure early, transparent disclosure of SEA-related project provisions, including contractor and worker expectations	Use project launch to set expectations for project SEA provisions, contractor behavior, continuous community engagement Disseminate GRM protocols, including confidentiality provisions Establish milestones for engagement on SEA to be included in Bank supervision plans		
Use innovative communication channels			Use social media and text messaging for early warning, feedback, and dialogue and to protect confidentiality		

RECOMMENDATION	PROJECT CONCEPT AND IDENTIFICATION	PROJECT PREPARATION AND APPRAISAL	PROJECT IMPLEMENTATION		
CONTRACTORS AND CONSULTANTS: ACCOUNTABLE PARTNERS					
Link procurement provisions to SEA risk assessment			Prequalification: Require contractors to disclose SEA issues and actions taken to address them, with information used to determine qualification		
			Require contractors to have Codes of Conduct that include: SEA prohibitions, (including under 18 language); sanctions; anti-harassment policies		
			High Risk Projects: Require contractors to demonstrate capacity to manage SEA risk; plan for SEA training and oversight funded under contract		
			Require contractors to develop and implement SEA incidence reporting and action protocols; link to GRM		
Ensure supervisory engineers play strong role in monitoring SEA			Use RFP/Contract for High Risk Projects to set expectations for Supervisory Engineer's role in oversight of contractor obligations in preventing and responding to SEA		
			Ensure contract includes provisions for mandatory reporting of incidents; link to GRM		
Enable Third-Party Monitoring		High Risk Projects: Build Third-Party Monitoring into design; agree on type (community? expert?); develop Terms of Reference (TOR)	Select Third-Party Monitor; Third-Party Monitoring throughout		

RECOMMENDATION	PROJECT CONCEPT AND IDENTIFICATION	PROJECT PREPARATION AND APPRAISAL	PROJECT IMPLEMENTATION		
	THE GOVERNMENT: COMMITTED AND PREPARED				
Build commitment, ownership capacity	High Risk Projects: Target technical ministry and Project Implementation Unit for SEA awareness raising and capacity building	High Risk Projects: Target local, relevant sub-national governments for SEA awareness raising and capacity building	High Risk Projects: Hold robust, dedicated sessions on SEA provisions at project launch		
Strengthen SEA Grievance Redress Mechanisms		Establish SEA reporting and redress mechanisms in Project GRM to ensure confidentiality without compromising justice Use intermediary, local organizations to refer to services and provide	Monitor efficacy of GRM and reporting protocol		
		timely support to complainant Develop reporting protocol consistent with severity of incident			

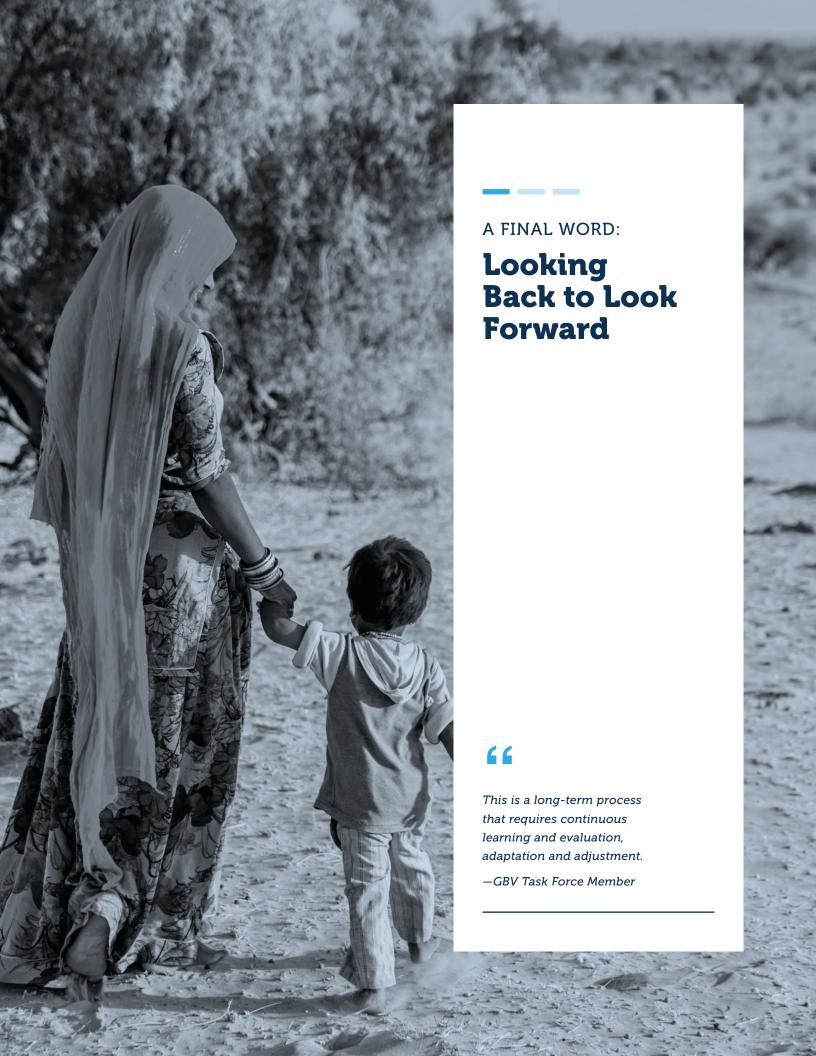
In addition, the overarching enabling environment—Government, Community and Contractor capacity—needs to be in place to support action at the project level. Some of the actions that the World Bank needs to take to build this enabling environment, particularly for the community where the project takes place, are conducted as part of the Project Cycle. Others can best be tackled at the level of the institutions responsible for action or require building new coalitions. These actions go beyond a single project. Yet the success of project efforts depends on their implementation. The Task Force recommendations that support building the enabling environment are summarized in Table 5.

TABLE 5: STRENGTHEN SEA PREVENTION AND RESPONSE BY CREATING AN ENABLING ENVIRONMENT

RECOMMENDATION	BUILD CAPACITY	DEVELOP SKILLS	PROVIDE POLICY AND GUIDANCE	STRENGTHEN INCENTIVES
FOCUSING ON BUILDING WORLD BANK CAPACITY				
Change starts from the top	President and CEO to empower a Champion to lead a group for sustained effort			Reward staff who raise issues or concerns Focus on managerial accountability, reinforced by capacity, skills, budget and guidance Reward staff who develop innovative solutions and attend specialized GBV and SEA training
Speak to Values		Motivate staff using nontraditional approaches to show link between project-level SEA and GBV prevention and development	Clarify that Bank's Anti-Harassment Policy applies to staff interactions with clients and beneficiaries	Engage in dialogue on GBV prevention as part of Bank's upcoming Core Value refreshing process and in discussions of the Bank's Anti- Harrassment Policy
Strengthen Bank's ability to respond	Continuous learning via periodic reviews of High Risk Projects Independent IEG Evaluation after 4 years	Embed SEA and GBV training into existing staff programs Create "Master Class" of highly skilled SEA experts to become roster of staff easily deployed when SEA has occurred	Consolidate Project-level SEA requirements into a single Staff Guidance Note	Create two-year GBV Prevention and Mitigation Fund Fund Task Force Recommendations

RECOMMENDATION	BUILD CAPACITY	DEVELOP SKILLS	PROVIDE POLICY AND GUIDANCE	STRENGTHEN INCENTIVES
Embed SEA considerations into project-level GRMs	Capture SEA and GRM best practice	Train Bank GRM experts on SEA- sensitive provisions	Develop internal Bank Management Protocol to ensure incidents trigger action	
Build collaboration with MDBs to address SEA			Build coalition of MDBs to align SEA prevention and response measures using existing Safeguard and Procurement Working Groups	
	FOCUS ON	BUILDING COUNTRY	CAPACITY	
Build country capacity to address GBV	Support government efforts to broaden response to SEA and GBV, leveraging such client engagement instruments at SCD and CPF exercises to highlight countryand portfolio-wide risks Build connections between Project and broader programmatic efforts to address GBV	SEA learning modules and guidance incorporated into country ESF/ Procurement Trainings	Clarify that Project Preparation Facilities are available for SEA project-related activities	
FOCUS ON BUILDING INDUSTRY CAPACITY				
Work with industry to raise the bar	Build a coalition of industry players to champion change and develop best practices, learning, and tools for contractors and consultants	Country and regional procurement training targeted at industry, including module on SEA and GBV		

BRINGING IT ALL TOGETHER: SEA PREVENTION AND RESPONSE IN THE WORLD BANK PROJECT CYCLE



The World Bank's responsibility to prevent and mitigate SEA in the projects it supports is fundamental to its mission: poverty alleviation and shared prosper-

ity. To succeed on this agenda, management and staff need to commit to ensuring project activities and services minimize risks to human health and well-being, protect the environment, and actively contribute to the greater public good. The World Bank's willingness to confront the challenges of Uganda by admitting institutional failures and committing at the highest level to improve how it functions as an institution is emblematic of the aspirations of Bank staff to uphold these values.

The issues that surfaced in Uganda showed institutional failure across many dimensions, so the response will need to be multifaceted as well. Ongoing reviews of risks of GBV and SEA in the current Bank portfolio and new risk assessment criteria for new projects are likely to recognize a higher degree of risk than was known before the Uganda failure surfaced. The challenge will be heightened as the Bank expands its portfolio under IDA 18 to environments affected by conflict and fragility, where institutions and mechanisms for security and justice are already weak, and social norms protecting against GBV are weak at best. An expected larger, ongoing and future at-risk portfolio will collide with multiple demands, requirements, and obligations that Bank staff already confront in the daily execution of their responsibilities. The Bank has undergone considerable change in recent years in terms of organizational structure and of fundamental policies and processes, including ongoing implementation of the new Procurement Framework and the roll out of the new ESF. Repeated organizational change can contribute to general fatigue toward new initiatives. Together these present obstacles to building an effective response.

These barriers to change are compounded by the sensitive nature of the issue.

The Bank's social development staff are motivated by the opportunity to use their skills to tackle challenges linked to GBV and SEA, but many technical staff and managers are not comfortable discussing sexual conduct and abuse and do not feel prepared to handle the challenge in a professional capacity. Yet the Uganda case has devastated staff. They worry that they will discover something similar on their own watch and want to be equipped to respond effectively. Staff want to do the right thing, but some are fearful of the unknown repercussions, are concerned about country buy-in on this issue, and worry about whether they have the capacity to respond appropriately.

The experience of the Uganda TSDP has been a painful one for the survivors and the local community. It was also a sobering moment for local and national partners in Uganda and for the World Bank as a development institution. Many lessons have been learned from this experience, and the World Bank has introduced several systemic changes to help ensure that such instances are not repeated and that mechanisms exist to prevent and mitigate social risk in the projects it supports, including the risk of sexual abuse. The experience has also shown that, when measures are taken to assess, identify and address such problems systematically, based on a strong coalition between local communities, government institutions and NGOs supported by international development organizations, grave risks can be avoided, and conditions for positive empowerment of girls and women can be created so that they can be a part of sustainable development.



THE WORLD BANK'S
RESPONSIBILITY
TO PREVENT AND
MITIGATE SEXUAL
EXPLOITATION
AND ABUSE IN
THE PROJECTS
IT SUPPORTS IS
FUNDAMENTAL
TO ITS MISSION:
POVERTY
ALLEVIATION AND
SHARED PROSPERITY.

A FINAL WORD: LOOKING BACK TO LOOK FORWARD

The Task Force has worked to build the case for action to prevent and respond to SEA in Bank projects. If implemented, the recommendations can go a long way to support learning from the past while looking forward to ways in which social risks can be mitigated so that sustainable development can be achieved. A critical ingredient for success is changing the hearts and minds of all of those who work together to fight the scourge of sexual abuse and exploitation.

Keeping in mind the life of the girl described at the outset of this report should help to motivate change because that imagined story is in fact a reality for many girls and women around the world living in communities that should be benefiting from large infrastructure investments. What if together we could change that narrative so that women and children do not have to live in fear but instead can look forward to a world where good roads and infrastructure mean a life of increased opportunity? That can be a reality, too.

A FINAL WORD: LOOKING BACK TO LOOK FORWARD



Annex 1: Task Force Terms of Reference

World Bank Group President Jim Yong Kim has formed a Global Gender-Based Violence Task Force intended specifically to strengthen the institution's capacity to identify, mitigate and prevent risk of sexual exploitation and abuse (SEA), as a manifestation of gender-based violence (GBV), and to respond in a survivor centered manner should incidence of SEA occur.

This task force will advise the institution on best practices for reducing risks to community safety in connection with our development projects, and in particular for preventing sexual exploitation and abuse in area development projects. Comprised of leading experts on sexual exploitation and abuse, relevant sectoral experts, and supported by a small Secretariat composed of World Bank staff, the task force will build on ongoing World Bank Group work to tackle GBV and sexual exploitation and abuse, specifically focusing on strengthened approaches to identifying threats and applying preventive actions in Bank-funded operations.

As a financier of development projects, the World Bank now supports millions of dollars in development projects aimed at addressing violence against women and girls across many different sectors, from health and education to infrastructure and public services. This work builds on evidence and lessons learned in these sectors accumulated by UN agencies such as the World Health Organization and UNICEF, as well as from academics and many civil society organizations. At the same time, recent experience has demonstrated the critical importance of strengthening the capacity of WB teams across sectors, particularly infrastructure investments that involve a large influx of workers into a community, to take adequate precautions to prevent or minimize risk of exposure of women and girls to sexual exploitation and abuse, as well as other forms of GBV. Similarly, there is need to improve clarity on and knowledge of response protocols and remedial actions to enable safe, confidential and ethical care of survivors should sexual exploitation and abuse occur.

The two main objectives of the Task Force are (i) to enhance the way World Bank Group operations teams assess and understand the drivers of and conditions for sexual exploitation and abuse – whether related to pervasive norms and dynamics, external stressors such as conflict and fragility, or as unintended consequences of development investments; and (ii) to build in measures into World Bank Group operations to prevent and remedy situations that may arise in the course of a project.

TERMS OF REFERENCE

The Task Force will be asked to:

1. Develop a set of actionable recommendations for the President and the Bank's Management on ways to strengthen prevention, design, reporting, and supervision interventions in the context of WBG operations aimed at area development (including infrastructure development, e.g. energy, roads, water/sanitation, slum upgrading etc.)

More specifically, key activities of the Task Force will include:

- » Advice on policies, processes and instruments linked to Bank operations that can be strengthened to improve Bank capacity to identify and prevent risk of sexual exploitation and abuse, as well as other forms of gender-based violence. This will include consideration of legal covenants, procurement processes, grievance redress mechanisms, codes of conduct, consultations and citizen engagement interventions, social assessments, training requirements and other relevant processes and tools.
- » Advice on tools, instruments or capacity building that may help improve the ability of task teams to assess risk of sexual exploitation and abuse during project design and to develop appropriate prevention or mitigation measures. Similarly, guidance will include identification of tools or instruments that may facilitate reporting of sexual exploitation and abuse. The tools identified will also serve as a monitoring mechanism during project supervision.

ANNEX 1: TASK FORCE TERMS OF REFERENCE

- » Guidance on remedial measures and procedures to be implemented in the event that incidence does occur. This includes:
 - i. Identification of response measures and systems of care for survivors or communities reporting sexual exploitation and abuse;
 - ii. Development of reporting and response protocols to help guide WB staff should cases arise. These protocols may include articulation of steps project teams should follow to enable the safe, confidential and ethical review of reported incidence; identification of reporting lines both internally as cases occur (e.g. to Bank management), as well as externally.
- » Identification of mechanisms for improved client engagement on sexual exploitation and abuse, including policy dialogue, training and other requirements to ensure effective implementation and monitoring of tools or systems developed to track potential incidence.
- 2. Identify effective ways for the Bank to increase coordination with multiple stakeholders -- locally, nationally, and internationally -- to prevent and respond to gender-based violence.

Recommendations will be informed in part by a review, facilitated by the supporting WB Secretariat, both of existing WB tools, processes and mechanisms to help identify appropriate entry points for engagement, as well as by a review of findings of existing and ongoing research and experience, to identify best practices involving prevention and response that help communities tackle sexual exploitation and abuse.

While this Task Force will focus recommendations for improved prevention of and mitigation against sexual exploitation and abuse in area development operations, particularly infrastructure investments involving large influx of workers to communities, consideration will also be given for relevance of recommendations for WB operations across other sectors as well.

MODUS OPERANDI

- The Task Force will have a 6-9 month tenure and will meet up to four times.
- The WBG will cover expenses of Task Force members to Task Force meetings, to be held in Washington, D.C.
- The Task Force will be supported by a small WBG secretariat which will organize meetings (prepare agendas, minutes, logistics), compile relevant background materials and issue notes, respond to requests from panelists for information, and other tasks as appropriate.
- Based on the recommendations of the Task Force, an action plan will be prepared by WBG staff to strengthen the Bank's work. The World Bank will commit to implement the Action Plan.
- The names of Task Force members and their report/recommendations will be public.

ANNEX 1: TASK FORCE TERMS OF REFERENCE

TASK FORCE MEMBERS:

Ms. Geeta Rao Gupta (Co-Chair), Executive Director, 3D Program for Girls and Women, United Nations Foundation

Ms. Katherine Sierra (Co-Chair), Former VP Sustainable Development, World Bank (retired)

Ms. Fatoumata Ndiaye, Deputy Executive Director, UNICEF

Ms. Kathleen Cravero, President, Oak Foundation

Mr. Atul Khare, Under-Secretary General for the United Nations

Most Reverend Bernard Ntahoturi, Representative of the Archbishop of Canterbury to the Holy See

Mr. Ntenga Moses, Founder and Director, Joy for Children

Ms. Ewa Werner Dahlin, Assistant Director General, Department of Asia, Middle East Humanitarian Assistance, and Human Security and Conflict at SIDA

Ms. Aisha Nadar, Head of Infrastructure, Procurement and Dispute Resolution, Advokatfirman Runeland AB

Ms. Laura Tuck, Vice President, Sustainable Development for the World Bank

Mr. Hart Schafer, Vice President, OPCS for the World Bank

Annex 2: The Uganda Transport Sector Development Project — What Happened

The Uganda Transport Sector Development Project (TSDP), Additional Financing, involved rehabilitating a 66-km road from Fort Portal to Kamwenge in Western Uganda. The project, implemented by the Uganda National Roads Authority (UNRA), was approved in 2011 and initiated in 2013.

The road rehabilitation contract was awarded to a Chinese construction company, which employed Ugandan labor from within and outside the community to work on the roads. The majority of workers (at least 80 percent) were from outside the community. In December 2014, the Bank received an anonymous complaint that there were a number of problems with project implementation, including serious allegations related to sexual abuse of minor girls by the workers employed by the road project. In September 2015, the community filed a complaint with the Bank's Inspection Panel, reporting that UNRA and the Bank had not satisfactorily addressed the problems described in its December 2014 complaint. Initial attempts to probe the issue with the community did not yield any information related to sexual abuse until the Bank engaged a social scientist trained in gender-based violence issues in May 2015. Based on further follow-up by the Bank on this complaint, which confirmed that road workers had sexually abused a number of young girls. In particular the Bank determined that road workers sexually abused 13 girls in the Bigodi community along the road. Seven of the 13 became pregnant and have since delivered, and two were found to be HIV positive. The investigation also found a host of other, unresolved implementation problems in the project. As a result, the Bank suspended disbursements of funding for the project in October 2015 and canceled the project in December, 2015.

The Inspection Panel issued its investigation report in August 2016. The World Bank Board discussed the Management Response to the Inspection Panel's report, as well as an internal report on the Lessons Learned from the project, in November 2016. The Lessons Learned report also contained an Action Plan to address the systemic issues identified. This Action Plan has been under implementation since November 2016.

Upon identification of the first victims of assault, the Bank developed an Emergency Child Protection Response (ECPR) program in December 2015 to provide immediate medical, psychosocial, legal, and livelihood support to the victims of the abuse and to raise awareness of problems related to child abuse in local schools and communities in the area. The ECPR coverage also extended beyond the 13 girls affected by the roads project. The Bank engaged BRAC, a reputable International NGO with a strong track record in Uganda, to help organize Empowerment and Livelihood Assistance (ELA) clubs for young girls in the project area. These clubs have been open not only to the girls sexually abused by road workers, but also to girls who suffered similar abuse from other perpetrators not linked to the Bank project (134 in all) and to other interested girls in the communities; 1034 girls have benefitted from these clubs since June 2016. These clubs provide overall life skills training, including assertiveness and leadership training and livelihood support, including financial literacy and access to apprenticeship opportunities, vocational training, and preparation for reintegration into formal schooling. BRAC and the local government's child protection services (District Probation and Welfare Office) also helped refer the girls to other service providers who provide specifically tailored forms of support (e.g., specialized psychosocial assessment and follow-up support, medical assistance, legal redress, school reintegration support) to girls based on a comprehensive assessment of each girl's circumstances. Early results show that the victims and other girls participating in ELA clubs have benefitted from this approach and have been able to begin recovery from their traumatic experiences. Some of them are also playing leadership roles in sensitizing their peers and the community on issues related to violence against children (VAC) and GBV.

Sensitization activities have been extended to the wider Bigodi community on challenges linked to GBV and sexual abuse, and these issues are now openly discussed in various community forums, including talk shows on the local radio. The community has also expressed interest in working with other, similar communities around the country to help raise awareness and establish community mechanisms to prevent and address GBV and violence against children. The community has not reported any cases of child sexual abuse—related to the transport sector development project or otherwise—since October 2016.

ANNEX 2: THE UGANDA TRANSPORT SECTOR DEVELOPMENT PROJECT - WHAT HAPPENED

The support being provided to the victims under the ECPR will be continued as part of a \$1 million "Rapid Social Response" trust fund grant, which is also helping strengthen the capacity of local governments and communities to prevent and address GBV and violence against children, including strengthening grievance redress mechanisms to receive and refer complaints related to violence against children and GBV. In addition, based on a request from the Government of Uganda, the Bank has supported the preparation of a \$40 million project to prevent and address more effectively GBV in the country and help implement the National Policy on the Elimination of Gender-Based Violence issued in 2016. The project will increase the capacity of national institutions such as the Ministry of Gender, Labor and Social Development (MoGLSD); the district-level agencies responsible for GBV in 13 districts of Uganda; and community-level organizations to help them prevent and address GBV. The project will also support a major national campaign to influence norms, values, and behaviors that condone GBV.

Annex 3: Risk Factors for Gender-Based Violence (GBV) Based on the Ecological Model¹⁴

SOCIETAL

Broad factors that reduce inhibitions against use of violence against women and reinforce gender inequality

COMMUNITY

Neighborhoods, schools, and workplaces

MALE PERPETRATOR

FAMILY

With family, intimate partner, and friends

INDIVIDUAL

Personal factors that influence personal behavior

RISK FACTORS FOR GENDER-BASED VIOLENCE BASED ON THE ECOLOGICAL MODEL

Legal context

- Barriers to economic participation
- Absence of legal framework addressing GBV
- Weak justice and criminal investigation systems
- Discriminatory laws
- Ease of divorce for women

Societal norms

- Emphasis on women's purity and family honor
- Women and girls less valued then men and boys
- Masculinity linked to aggression and dominance

Economic factors

- Level of development according to varying development indices
- Poverty (economic stress)

National

- Fragile, conflict or post-conflict setting
- Conditions of forced displacement
- Sexist media

Norms

- Social acceptance of wife beating
- Male right to discipline and control female behavior
- Tolerance of harsh physical punishment of children
- Stigma against divorced or single women
- Male honor linked to female purity
- Social isolation of women, girls, and family
- GBV taboo topic of discussion
- Acceptance of significant spousal age differences

Lack of sanctions

- Lack of legal and moral sanctions for violence; lack of enforcement of existing sanctions
- Other community members do not intervene

Neighborhood

- Male idleness
- Community violence
- High underemployment
- Lack of safety in public places
- Inadequate victim care; lack of institutions
- Prevalence of transactional sex

Violence in childhood

- Experiences of harsh physical punishment
- Witnessing parental violence
- Physiological dysfunction, antisocial behavior, adult attachment issues

Attitudes

- Acceptance of violence as a means to resolve conflict
- Acceptance of partner violence
- Men hold attitudes of superiority over women

Alcohol abuse

Delinquent peers

Socio-demographic

- Young
- Low educational level

Interaction

- Non-egalitarian decision-making
- Poor communication
- High relationship conflict

Situational triggers

- Sex, infidelity
- Power imbalance within relationship related to money, distribution of family resources
- Stress produced by children or in-laws
- Alcohol use
- Economic stress

Patriarchal triggers

- Female challenge to male authority
- Failure to meet gender role expectations
- Assertions of female autonomy

Demographic characteristics

- Being a woman or part of sexual or gender minority group
- Age
- Level of educational attainment
- Disability
- Displacement

Childhood violence

- Child sexual abuse
- Childhood trauma
- Witnessing GBV

Attitudes

- Tolerance of wife beating
- Low social support, lack of networks
- Lack of sufficient personal income

¹⁴ The Ecological Model is a conceptual framework that consolidates three decades of thought and scholarship from multiple sectors on GBV risk identification. The model reflected here builds on the work of Lori Heise "What works to prevent partner violence: An evidence overview." STRIVE Research Consortium, 2011.

Annex 4: Gender-Based Violence and Sexual Exploitation and Abuse Risk Assessment Guidance¹⁵

Key considerations guiding gender-based violence (GBV) risk assessment should include:

· What data already exist? Data on demographic and other characteristics of communities, including prevalence of GBV and services available, can be found in demographic health surveys and administrative statistics that police, hospitals, and judicial and social service agencies collect. Examples are listed in the table below.

SOURCES FOR OBTAINING GENDER-BASED VIOLENCE (GBV)-RELATED INFORMATION 16 Prevalence of GBV Demographic health surveys (DHS)

GBV Context (norms, attitudes, legal context)

- · Quantitative and qualitative surveys
- Demographic health surveys (DHS)
- Organization for Economic Cooperation and Development Social Institutions and Gender Index (SIGI)
- Qualitative data from NGOs
- Policy and legal context data (see World Bank database Women, Business and the Law)
- Perception surveys (e.g., World Values Survey, Gallup)
- · Local women's organizations and key informants
- International Men and Gender Equality Survey (IMAGES)
- Quantitative and qualitative studies
- Participatory data collection activities

Services available for GBV survivors

- Qualitative data from NGOs
- GBV Information Management System IMS
- Local women's organizations and key informants
- Resource mapping activities

Because such data often already exist, new data collection efforts, formal or informal, should not be initiated to assess GBV levels in a community affected by a World Bank project. The cost of safely and ethically collecting representative data is high, and the effort is time consuming. Teams should try to identify the evidence regarding the epidemiology of violence against women, children, and other vulnerable groups, including data on prevalence, types of violence, patterns, and consequences of GBV, disaggregated according to sex (of survivor and perpetrator) where possible.

- · What is the legal framework at the national and local levels affecting women's rights? Examine procedures for enforcing laws and how those laws are applied in practice. This analysis should include property and inheritance rights, as well as customary laws. Relevant information for this analysis is easily accessible through the World Bank Women Business and the Law.
- What are the national, provincial, and local plans and policies related to prevention of and response to GBV? Current sectoral responses (e.g., health, education, justice, social) to GBV, along with any coordination mechanisms and existing budgets, should be identified and understood.

¹⁵ Adapted from VAWG Resource Guide Integrate http://www.vawgresourceguide.org/integrate accessed June 2016

¹⁶ As adapted from Care International, 2014, "Guidance for Gender-Based Violence (GBV) Monitoring and Mitigation within non-GBV Focused Sectoral Programming." http://www.care.org/sites/default/files/documents/CARE%20GBV%20M%26E%20Guidance_0.pdf

ANNEX 4: GENDER-BASED VIOLENCE AND SEXUAL EXPLOITATION AND ABUSE RISK ASSESSMENT GUIDANCE

- What services or programs are in place for women who experience violence? These can include medical, legal, psychological or social services for women. Teams should particularly try to assess the level of coordination between them.
- Might the project contribute to reinforcing gender stereotypes and traditional roles? These can lead
 to greater inequalities between men and women in access to resources and economic dependence of
 women on men, thereby increasing GBV risk factors. The Task Team should add the actions required to
 prevent or mitigate this risk.
- Who is already working on this issue? Potential partners and allies could include government ministries, civil society organizations, and other key organizations working on GBV and gender and human rights in the country or region. Mapping the projects they are executing and their areas of expertise may help inform a future referral network for the project in case of incidents. Task Teams should also endeavor to include the work of other World Bank sectors in mapping, particularly the Social, Urban, Rural and Resilience Global Practice and Health Global Practice, which may have activities related to GBV underway.

Annex 5: Sample Codes of Conduct-Vanuatu Aviation Investment Project

Note: The following Codes of Conduct were developed for the World Bank Vanuatu Aviation Investment Project (VAIP) currently under development, as adapted from Codes of Conduct developed by the United Nations. Three Codes are presented here: one for the Contracting Firm, one for firm Managers, and one for individual workers. These Codes provide a useful model for adaptation and inclusion in other projects, although there is more to learn to assess the effectiveness of the respective tools.

() COMPANY GENDER-BASED VIOLENCE AND CHILD PROTECTION CODE OF CONDUCT

The company is obliged to create and maintain an environment which prevents gender based violence (GBV) and child abuse/exploitation (CAE) issues, and where the unacceptability of GBV and actions against children are clearly communicated to all those engaged on the project. In order to prevent GBV and CAE, the following core principles and minimum standards of behavior will apply to all employees without exception:

- GBV or CAE constitutes acts of gross misconduct and are therefore grounds for sanctions, penalties and/or termination of employment. All forms of GBV and CAE including grooming are unacceptable be it on the work site, the work site surroundings, or at worker's camps. Prosecution of those who commit GBV or CAE will be pursued.
- 2. Treat women, children (persons under the age of 18), and men with respect regardless of race, color, language, religion, political or other opinion, national, ethnic or social origin, property, disability, birth or other status.
- 3. Do not use language or behavior towards women, children and men that is inappropriate, harassing, abusive, sexually provocative, demeaning or culturally inappropriate.
- 4. Sexual activity with children under 18—including through digital media—is prohibited. Mistaken belief regarding the age of a child and consent from the child is not a defense.
- 5. Sexual favors or other forms of humiliating, degrading or exploitative behavior is prohibited.
- 6. Sexual interactions between contractor's and consultant's employees at any level and member of the communities surrounding the work place that are not agreed to with full consent by all parties involved in the sexual act are prohibited (see definition of consent above). This includes relationships involving the withholding/promise of actual provision of benefit (monetary or non-monetary) to community members in exchange for sex such sexual activity is considered "non-consensual" within the scope of this Code.
- 7. All staff, volunteers, consultants and sub-contractors are highly encouraged to report suspected or actual GBV and/or CAE by a fellow worker, whether in the same contracting firm or not. Reports must be made in accordance with Standard Reporting Procedures.
- 8. All employees are required to attend an induction training course prior to commencing work on site to ensure they are familiar with the GBV and CAE Code of Conduct.
- 9. All employees must attend a mandatory training course once a month for the duration of the contract starting from the first induction training prior to commencement of work to reinforce the understanding of the institutional GBV and CAE Code of Conduct.
- 10. All employees will be required to sign an individual Code of Conduct confirming their agreement to support GBV and CAE activities.

I do hereby acknowledge that I have read the foregoing Code of Conduct, do agree to comply with the standards contained therein and understand my roles and responsibilities to prevent and respond to GBV and CAE. I understand that any action inconsistent with this Code of Conduct or failure to take action mandated by this Code of Conduct may result in disciplinary action.

FOR THE COMPANY
Signed by
Title:
Date:

() MANAGER'S GENDER BASED VIOLENCE AND CHILD PROTECTION CODE OF CONDUCT

Managers at all levels have particular responsibilities to create and maintain an environment that prevents GBV and CAE. They need to support and promote the implementation of the Company Codes of Conduct. To that end, they must adhere to the Manager's Codes of Conduct and also sign the Individual Codes of Conduct. This commits them to support and develop systems that facilitate the implementation of this action plan and maintain a GBV-free and child-safe work environment. These responsibilities include but are not limited to:

Mobilization

- 1. Establish a GBV and CAE Compliance Team (GCCT) from the contractor's and consultant's staff to write an Action Plan that will implement the GBV and CAE Codes of Conduct.
- 2. The Action Plan shall, as a minimum, include the
 - Standard Reporting Procedure to report GBV and CAE issues through the project Grievance Response Mechanism (GRM);
 - ii. Accountability Measures to protect confidentiality of all involved; and,
 - iii. Response Protocol applicable to GBV survivors/survivors and perpetrators.
- 3. Coordinate and monitor the development of the Action Plan and submit for review to the VPMU and TFSU safeguards teams, as well as the World Bank prior to mobilization.
- 4. Update the Action Plan to reflect feedback and ensure the Action Plan is carried out in its entirety.
- 5. Provide appropriate resources and training opportunities for capacity building so members of the GCCT feel confident in performing their duties. Participation in the GCCT will be recognized in employee's scope of work and performance evaluations.
- 6. Ensure that contractor, consultant and client staff are familiar with the VAIP GRM and that they can use it to anonymously report concerns over GBV and CAE (See Section 4.2 in the Action Plan).
- 7. Hold quarterly update meetings with the GCCT to discuss ways to strengthen resources and GBV and CAE support for employees and community members.

- 8. In compliance with applicable laws and to the best of your abilities, prevent perpetrators of sexual exploitation and abuse from being hired, re-hired or deployed. Use background and criminal reference checks for all employees.
- 9. Ensure that when engaging in partnership, sub-grant or sub-recipient agreements, these agreements a) incorporate this Code of Conduct as an attachment; b) include the appropriate language requiring such contracting entities and individuals, and their employees and volunteers to comply with this Code of Conduct; and c) expressly state that the failure of those entities or individuals, as appropriate, to take preventive measures against GBV and CAE, to investigate allegations thereof, or to take corrective actions when GBV and/or CAE has occurred, shall constitute grounds for sanctions and penalties.

Training

- All managers are required to attend an induction manager training course prior to commencing work
 on site to ensure that they are familiar with their roles and responsibilities in upholding the GBV and
 CAE Codes of Conduct. This training will be separate from the induction training course required of all
 employees and will provide managers with the necessary understanding and technical support needed
 to begin to develop the Action Plan for addressing GBV and CAE issues.
- 2. Provide time during work hours to ensure that direct reports attend the mandatory VAIP facilitated induction GBV and CAE training required of all employees prior to commencing work on site.
- 3. Ensure that direct reports attend the monthly mandatory refresher training course required of all employees to combat increased risk of GBV and CAE during civil works.
- 4. Managers are required to attend and assist with the VAIP facilitated monthly training courses for all employees. Managers will be required to introduce the trainings and announce the self-evaluations.
- 5. Collect satisfaction surveys to evaluate training experiences and provide advice on improving the effectiveness of training.

Prevention

- 1. All managers and employees shall receive a clear written statement of the company's requirements with regards to preventing GBV and CAE in addition to the training.
- 2. Managers must verbally and in writing explain the company and individual codes of conduct to all direct reports.
- 3. All managers and employees must sign the individual 'Code of Conduct for GBV and CAE', including acknowledgment that they have read and agree with the code of conduct.
- 4. To ensure maximum effectiveness of the Codes of Conduct, managers are required to prominently display the Company and Individual Codes of Conduct in clear view in public areas of the work space. Examples of areas include waiting, rest and lobby areas of sites, canteen areas, health clinics.
- 5. All posted and distributed copies of the Company and Individual Codes of Conduct should be translated into the appropriate language of use in the work site areas (ex. Bislama, French, English).
- 6. Managers will explain the GRM process to all employees and encourage them to report suspected or actual GBV and/or CAE.

- 7. Mangers should also promote internal sensitization initiatives (e.g. workshops, campaigns, on-site demonstrations etc.) throughout the entire duration of their appointment in collaboration with the GCCT and in accordance to the Action Plan.
- 8. Managers must provide support and resources to the GCCT to create and disseminate the internal sensitization initiatives through the Awareness-raising strategy under the Action Plan.

Response

- Managers will be required to provide input, final decisions and sign off on the Standard Reporting Procedures and Response Protocol developed by the GCCT as part of the Action Plan.
- Once signed off, managers will uphold the **Accountability Measures** set forth in the Action Plan to
 maintain the confidentiality of all employees who report or (allegedly) perpetrate incidences of GBV
 and CAE (unless a breach of confidentiality is required to protect persons or property from serious
 harm or where required by law).
- 3. If a manager develops concerns or suspicions regarding any form of GBV or CAE by one of his/her direct reports, or by an employee working for another contractor on the same work site, s/he is highly encouraged to report the case using the identified reporting mechanism.
- 4. Once a sanction has been determined, the relevant manager(s) is/are expected to be personally responsible for ensuring that the measure is effectively enforced, within a maximum timeframe of **14 days** from the date on which the decision was made.
- 5. Managers failing to comply with such provision can be in turn subject to disciplinary measures, to be determined and enacted by the company's CEO, Managing Director or equivalent highest-ranking manager. Those measures may include:
 - i. Informal warning
 - ii. Formal warning
 - iii. Additional Training
 - iv. Loss of up to one week's salary.
 - v. Suspension of employment (without payment of salary), for a minimum period of 1 month up to a maximum of 6 months.
 - vi. Termination of employment.
- 6. Ultimately, failure to effectively respond to GBV and CAE cases on the work site by the contractor's managers or CEO may provide grounds for legal actions by authorities.

I do hereby acknowledge that I have read the foregoing Code of Conduct, do agree to comply with the standards contained therein and understand my roles and responsibilities to prevent and respond to GBV and CAE. I understand that any action inconsistent with this Code of Conduct or failure to take action mandated by this Code of Conduct may result in disciplinary action.

FOR THE EMPLOYER
Signed by
Title:
Date:

→ INDIVIDUAL GENDER BASED VIOLENCE AND CHILD PROTECTION CODE OF CONDUCT

I, _______, acknowledge that preventing gender based violence (GBV) and child abuse/exploitation (CAE) are important. GBV or CAE activities constitute acts of gross misconduct and are therefore grounds for sanctions, penalties or termination of employment. All forms of GBV or CAE are unacceptable be it on the work site, the work site surroundings, or at worker's camps. Prosecution of those who commit GBV or CAE will be pursued as appropriate.

I agree that while working on the VAIP project, I will:

- Consent to police background check.
- Treat women, children (persons under the age of 18), and men with respect regardless of race, color, language, religion, political or other opinion, national, ethnic or social origin, property, disability, birth or other status.
- Not use language or behavior towards women, children or men that is inappropriate, harassing, abusive, sexually provocative, demeaning or culturally inappropriate.
- Not participate in sexual activity with children—including grooming or through digital media. Mistaken belief regarding the age of a child and consent from the child is not a defense.
- · Not engage in sexual favors or other forms of humiliating, degrading or exploitative behavior.
- Not have sexual interactions with members of the communities surrounding the work place and worker's camps that are not agreed to with full consent by all parties involved in the sexual act (see definition of consent above). This includes relationships involving the withholding or promise of actual provision of benefit (monetary or non-monetary) to community members in exchange for sex—such sexual activity is considered "non-consensual" within the scope of this Code.
- Attend and actively partake in training courses related to HIV/AIDS, GBV and CAE as requested by my employer.
- Report through the GRM or to my manager suspected or actual GBV and/or CAE by a fellow worker, whether in my company or not, or any breaches of this code of conduct.

With regard to children under the age of 18:

- · Wherever possible, ensure that another adult is present when working in the proximity of children.
- Not invite unaccompanied children into my home, unless they are at immediate risk of injury or in physical danger.
- Not sleep close to unsupervised children unless absolutely necessary, in which case I must obtain my supervisor's permission, and ensure that another adult is present if possible.
- Use any computers, mobile phones, or video and digital cameras appropriately, and never to exploit or harass children or to access child pornography through any medium (see also "Use of children's images for work related purposes").
- Refrain from physical punishment or discipline of children.
- Refrain from hiring children for domestic or other labor which is inappropriate given their age or developmental stage, which interferes with their time available for education and recreational activities, or which places them at significant risk of injury.
- · Comply with all relevant local legislation, including labor laws in relation to child labor.

Use of children's images for work related purposes

When photographing or filming a child for work related purposes, I must:

- Before photographing or filming a child, assess and endeavor to comply with local traditions or restrictions for reproducing personal images.
- Before photographing or filming a child, obtain informed consent from the child and a parent or guardian of the child. As part of this I must explain how the photograph or film will be used.
- Ensure photographs, films, videos and DVDs present children in a dignified and respectful manner and not in a vulnerable or submissive manner. Children should be adequately clothed and not in poses that could be seen as sexually suggestive.
- Ensure images are honest representations of the context and the facts.
- · Ensure file labels do not reveal identifying information about a child when sending images electronically.

I understand that it is my responsibility to use common sense and avoid actions or behaviors that could be construed as GBV or CAE or breach this code of conduct. I do hereby acknowledge that I have read the foregoing Code of Conduct, do agree to comply with the standards contained therein and understand my roles and responsibilities to prevent and respond to GBV and CAE. I understand that any action inconsistent with this Code of Conduct or failure to take action mandated by this Code of Conduct may result in disciplinary action and may affect my ongoing employment.

Signed by	_
Title:	
Date:	

Annex 6: Draft Protocol for World Bank Staff Reporting to Bank Management on Allegations of Sexual Exploitation and Abuse by Personnel Associated with a World Bank-Financed Investment Operations

NOTE: Reporting measures are illustrative and based on reporting tools developed by UNICEF. Comprehensive guidance on sexual exploitation and abuse (SEA) reporting to be developed.

ALLEGATIONS MUST BE REPORTED TO WORLD BANK MANAGEMENT

- All World Bank staff have a duty to report to their World Bank manager and, depending on severity of
 the incident, senior management any allegations of sexual exploitation and abuse by personnel affiliated with a World Bank investment operation. Reports must be made urgently once an allegation is
 received. The Report may come from the Government's project grievance redress mechanism (GRM),
 the community, the contractor, the Supervisory Engineer, or directly from the complainant. The steps for
 staff reporting are set out below.
- Reporting allows World Bank management to ensure that the Borrower, using the systems embedded
 in the project, is taking appropriate steps to help affected individuals involved, to stop any on-going
 exploitation and abuse, and to trigger appropriate investigations and possible referrals to law enforcement.

WHO MUST REPORT WHAT, WHEN, AND TO WHOM?

- Who must report? "World Bank Staff" means, for these purposes, all World Bank staff members and any individuals with short-term consultancy contracts with the Bank. Project-affiliated Personnel means, for these purposes, government partners responsible for project implementation and any consultants and contractors hired under Bank-financed investment operations.
- What must be reported? Allegations of SEA by Project Personnel of any members of communities
 affected by World Bank operations, including target beneficiaries; wider project-affected populations
 in surrounding communities; and any individual workers or any contractors hired under Bank-financed
 operations must be reported. Given the nature of the actions involved, all allegations should be reported. However, making an allegation in bad faith against someone or embellishing an allegation is strictly
 prohibited; appropriate steps will be taken against anyone who does so.
 - "Sexual exploitation and abuse" is a form of GBV, defined as any actual or attempted abuse of a position of vulnerability, differential power, or trust for sexual purposes, including, but not limited to, profiting monetarily, socially, or politically from the sexual exploitation of another. Acts of SEA may involve actual or threatened violence or inducements such as protection, food, shelter, or the like in exchange for sex. An analysis of whether such conduct meets the technical definitions can occur at a later phase of the process.
 - "Child sexual abuse" is defined according to the age of the victim. It includes different forms of sexual violence, including explicit force or coercion and cases in which the victim cannot give consent because of his or her age. The United Nations considers all sexual activity with someone younger than 18 to be sexual abuse (United Nations A/70/729). Allegations involving sexual activities of Project-affiliated Personnel with someone who appears or claims to be younger than 18 must be reported.
- When Must the Allegations Be Reported? Allegations must be reported urgently once they are received. The maximum time frames for reporting are set out in the box below.
- · To Whom Must the Report Be Made? The GRM reporting protocols should ensure that initial reports are

ANNEX 6: DRAFT PROTOCOL FOR WORLD BANK STAFF REPORTING TO BANK MANAGEMENT ON ALLEGATIONS OF SEXUAL EXPLOITATION AND ABUSE BY PERSONNEL ASSOCIATED WITH A WORLD BANK-FINANCED INVESTMENT OPERATIONS

made directly to the Project Implementation Unit (PIU) and to the Project Task Team Leader (TTL). The TTL has an obligation to then report to the TTL's Practice Manager and to inform the Country Management Unit(CMU). Depending on the severity of the allegation, a decision should be made whether to escalate the report to higher levels of senior management to develop an appropriate response. Depending on the nature of the incident, the TTL and PIU should also report to appropriate Borrower focal points. The Bank Management reporting protocols from there are set out in the matrix below.

• What Actions Should Follow Reporting? A reporting protocol should be developed to guide Task Teams and Country Management Units in working with the Borrower on immediate and follow-up actions to ensure timely, confidential, survivor-centered care for survivors if desired and appropriate; to provide adequate protection for survivors or those submitting reports; and to involve law enforcement if appropriate. As a guiding principle, global best practice advocates that access to medical support services be provided to sexual assault survivors within 72 hours of the incident. Response protocols should adhere to global best practices.

SPECIAL NOTES:

- If teams are in doubt about whether something must be reported, it should be reported.
- The World Bank expects that its Government partners and donors, civil society implementing partners (local and international), vendors and suppliers, and organizations with corporate consulting contracts for Bank-financed activities and the employees of all of these will also report such allegations to the World Bank.

ANNEX 6: DRAFT PROTOCOL FOR WORLD BANK STAFF REPORTING TO BANK MANAGEMENT ON ALLEGATIONS OF SEXUAL EXPLOITATION AND ABUSE BY PERSONNEL ASSOCIATED WITH A WORLD BANK-FINANCED INVESTMENT OPERATIONS

REPORTING STEPS

STEP 1

Immediately after receiving an allegation of actual, attempted, or threatened, sexual exploitation and abuse by personnel associated with a World Bank-financed Project, Personnel must inform the PIU and the Project TTL.

- Ideally, the allegation or complaint will be recorded in the GRM system to trigger the appropriate response protocol for survivors.
- Within 24 hours of receiving notification, PIU and World Bank should initiate the protocol for survivorcentered care for significant incidents with identified implementing partners; if partners have not been identified, a technical expert will be consulted or deployed to identify entry points for access to services.

STEP 2

Within 24 hours after he or she receives the report, the TTL must report the allegation to the Practice Manager, copying the Sector Director, as well as to the Country Management Unit, including the Country Director, Country Manager/Representative, and the senior operations officer.

- The report must be made in writing and make available all relevant information except the names and identifying information of the survivor or reporter, which must be removed from all written documents and communications; the TTL is to retain that information (if known) under strict confidentiality.
- The TTL should also inform the social development specialist or other designated staff with technical expertise (e.g., Senior GBV Advisor within the Gender CCSA) to provide guidance on potential steps for investigation that the Borrower must take.

STEP 3

Within [24 hours] after he or she receives notification of incidence of SEA, the Sector Director reviews the information and decides, using his or her best judgment, whether to inform World Bank Senior Management and the associated Vice President. The Sector Director should consider the severity and type of the incident when making this decision. Cases requiring immediate VP-level notification include:

- Any incidence of physical or sexual assault, including rape, involving a child (i.e. anyone younger than 18)
- Any incidence of rape
- Any incident resulting in severe physical injury, harm or death

The Sector Director and Practice Manager, upon advice of and with specific guidance of the World Bank Country Director, informs appropriate Government authorities and, when relevant, contractors or implementing partners.

STEP 4

The TTL should confer with the Practice Management team, the Project's Social Development Specialist, with the CMU and other relevant staff as appropriate to identify steps for investigation.

- Depending on the severity of the allegation, an appropriate technical expert should be identified for deployment to ensure appropriate investigation of the reported incident within [two weeks of receiving the report].
- For severe allegations, particularly those involving rape and sexual assault, a technical expert should be identified [within 48 hours].
- World Bank and PIU staff **should not under any circumstance** attempt to investigate allegations or interview survivors or reporters directly. Interviews should be conducted only by technical specialists with background and expertise in the ethical and confidential investigation of incidence of SEA and GBV.

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Working Together to Prevent Sexual Exploitation and Abuse:

RECOMMENDATIONS FOR WORLD BANK INVESTMENT PROJECTS

Report of the Global Gender-Based Violence Task Force

JULY 31, 2017

THE WORLD BANK GROUP

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